

# **Objective 1**

## **Peace and Security**

## **1.1 – Counter-Terrorism**

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| Indicator                              | <b>1.1-3 Number of publicly reported terrorism incidents in a given year worldwide (S/CT reporting only)</b>                                                                                                                                                                                                                                                                                                                                                             |
| Definition                             | This indicator will show the impact of USG CT efforts by totaling the number of terrorist incidents per year. According to the National Counterterrorism Center (NCTC) definition, terrorism occurs when groups or individuals acting on political motivation deliberately or recklessly attack civilians/non-combatants or their property and the attack does not fall into another special category of political violence, such as crime, rioting, or tribal violence. |
| Linkage to Long-Term Outcome or Impact | The indicator has direct linkage to our long-term goal of reducing terrorism over time. This outcome indicator is coming from the area level which makes it a bit more difficult to specifically attribute the reduction of terrorist incidents to our programs. It will give us a sense of either positive or negative shifts and where regionally to direct funds in the future.                                                                                       |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Use of Indicator                       | Department of State program developers and budget officers will utilize the data to make adjustments in program design and budgets                                                                                                                                                                                                                                                                                                                                       |
| Data Source and Reporting Frequency    | Data source is annual public NCTC reporting on terrorism incidents in the Country Reports on Terrorism                                                                                                                                                                                                                                                                                                                                                                   |
| Known Data Limitations                 | Only known limitation is being able to directly attribute reduction or increase in terrorist incidents to our program activity.                                                                                                                                                                                                                                                                                                                                          |
| Baseline Timeframe                     | NCTC's Worldwide Incident Tracking System was established in 2004 which is their terrorist incident database.                                                                                                                                                                                                                                                                                                                                                            |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

### **1.1.1 – Deny Terrorist Sponsorship, Support and Sanctuary**

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| Indicator                              | <b>1.1.1-1 Number of students trained on counterterrorism (CT) finance by USG programs</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Definition                             | This indicator provides the statistics on the numbers of students trained in 5 core CT finance competencies (legal, regulatory framework, financial intelligence, financial investigative, prosecutorial/judicial). A student is defined as a host-country public employee or professional working in the Anti-Money Laundering/Counterterrorism Finance (AML/CTF) field who receives a sequence of in-service training courses over a period of time covering the core competencies. Training is ongoing and may be offered in the United States or overseas, either through a specific course or mentoring. For individual courses, a student will be considered having completed the course if he/she completes all assignments and receives a certificate. |
| Linkage to Long-Term Outcome or Impact | The longer-term impact desired is to reduce terrorism over time by raising the competency levels of host country counterparts in 5 core CT finance areas. The assumption is that the more people who can be trained in each core area, the greater the possibility that the core area will be strengthened and the overall capacity of priority countries to counter terrorist finance will be increased                                                                                                                                                                                                                                                                                                                                                       |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Unit of Measure                        | Number of students trained per year.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Use of Indicator                       | Embassy program officers, federal agency training implementers and Department of State program developers and budget officers will utilize the data to make adjustments in program design and budgets                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Data Source and Reporting Frequency    | Data will be collected by federal agency training implementers at the time of the course presentation, transmitted to their host agency for submission to the Department of State on an annual basis.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Known Data Limitations                 | No known limitations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Baseline Timeframe                     | 2006                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Disaggregate(s)                        | Sex                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

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| Indicator                              | <b>1.1.1-2 Number of ports of entry supported by USG terrorist interdiction programs</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Definition                             | This is a measure of the number of ports of entry the Terrorist Interdiction Program (TIP) helps partner countries equip to conduct terrorist watch-listing in cooperation with the U.S. Ports of entry are official entry points into a country where travelers are required to provide documentation to host nation officials to enter a country. These ports of entry can be international airports, land borders, seaports, and railroad stations. After a Personal Identification Secure Comparison and Evaluation System (PISCES) is installed, the USG will support that system via regular TDY visits to provide operations and maintenance support, and hardware and software upgrades when appropriate. |
| Linkage to Long-Term Outcome or Impact | As more points of entry are equipped with state of the art PISCES border security systems, the local authority's ability to identify, deter and detain terrorists is enhanced. Consequently, the ability of terrorists to transit or seek sanctuary is constrained.                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Unit of Measure                        | Number.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Use of Indicator                       | The information generated by this indicator will be used by the TIP/PISCES Program Management Office and the S/CT Front Office for planning and budget decisions for bilateral programs in PISCES partner countries.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Data Source and Reporting Frequency    | The TIP/PISCES Program Management Office generates a country level breakdown chart quarterly on the number of points of entry that are planned and the number of points of entry that are active. The chart is updated by Direct Observation by visiting TIP/PISCES staff, and by staff review of Project/Program documents.                                                                                                                                                                                                                                                                                                                                                                                      |
| Known Data Limitations                 | No known limitations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Baseline Timeframe                     | 2002                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

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| Indicator                              | <b>1.1.1-4 The number of the highest counterterrorism (CT) priority countries that have committed to screen for terrorists using the Terrorist Interdiction Programs' Personal Identification Secure Comparison and Evaluation System (PISCES) border security system</b>                                                                                                 |
| Definition                             | The number of high CT priority countries that have signed a Memorandum of Intention with the US to establish a TIP/PISCES program. TIP/PISCES is currently operational in the following countries: Afghanistan, Cambodia, Cote D'Ivoire, Djibouti, Ethiopia, Ghana, Iraq, Kenya, Kosovo, Macedonia, Malta, Pakistan, Tanzania, Thailand, Uganda, Yemen and Zambia.        |
| Linkage to Long-Term Outcome or Impact | The desired long-term outcome is that the US equips and trains an increasing number of high CT priority countries with the PISCES state of the art border security system thus enabling host nations to effectively identify, deter and detain terrorists. This growing network of PISCES countries will effectively constrain terrorist mobility, support and sanctuary. |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                   |
| Unit of Measure                        | The number of high CT priority countries that agree to establish a PISCES program. The number of high CT priority countries is cumulative to the year.                                                                                                                                                                                                                    |
| Use of Indicator                       | This indicator will be used by the TIP-PISCES Program Management Office, Bureau-level policy makers and by Congress to assess how competitive the PISCES system is compared to alternative border security systems, and to decide what program adjustments might be needed to improve the system's competitiveness.                                                       |
| Data Source and Reporting Frequency    | Data for this indicator will be generated annually by direct observation, program reports via TDY visits by PISCES staff, other US agency reports and by signed bilateral Memorandum of Intention (MOI).                                                                                                                                                                  |
| Known Data Limitations                 | No known limitations                                                                                                                                                                                                                                                                                                                                                      |
| Baseline Timeframe                     | 2011                                                                                                                                                                                                                                                                                                                                                                      |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                      |

### **1.1.2 – De-legitimize Terrorist Ideology**



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| Indicator                              | <b>1.1.2-2 The number of terrorism-related arrests in regions where Countering Violent Extremism (CVE)-specific programming has been implemented by the USG</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Definition                             | This indicator registers the number of arrests related to terrorism in an area targeted by USG programming. Countering Violent Extremism is described in the US national strategy and policy as the collective efforts of the United States and its partners to diligently undermine the spread of violent extremism and impede the radicalization process around the world in an effort to deny terrorists the next generation of recruits. The term “terrorism” means premeditated, politically motivated violence perpetrated against non-combatant targets by sub-national groups or clandestine agents. It encompasses both national and international groups, agents, and recruits. |
| Linkage to Long-Term Outcome or Impact | The long-term outcome is the reduction in number of hotspots of recruitment for terrorism. The assumption is that successful program implementation will yield a reduction in the number of arrests for terrorism-related activities, which in turn will lead to a reduction in the number of hotspots.                                                                                                                                                                                                                                                                                                                                                                                   |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Unit of Measure                        | Number of arrests and/or recruits. Cumulative over a time span of when the programs are first enacted.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Use of Indicator                       | Information will be used for program adjustments and accountability of funds spent by Bureau-level planners and in-country program managers.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Data Source and Reporting Frequency    | The local implementers of our CVE programs have access to local police for this data. Additional sources of data may be: <ul style="list-style-type: none"> <li>• Review of Project/Program Documents</li> <li>• Direct Observation</li> <li>• Intelligence</li> <li>• Hearsay</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                 |
| Known Data Limitations                 | Limitations: Precision and reliability. It may be hard to determine which arrests have decreased, if any.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Baseline Timeframe                     | Analysis is underway to determine regions most at-risk of radicalization in order to target CVE programming. Quantitative and qualitative data currently being collected will provide initial numbers on previous arrests related to terrorism. Initial baselines will be established by end of 2011.                                                                                                                                                                                                                                                                                                                                                                                     |
| Disaggregate(s)                        | Age (16-35) and sex                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

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| Indicator                              | <b>1.1.2-3 Number of Countering Violent Extremism (CVE) programs directly related to US Government CVE objectives implemented in country by civil society and partner governments</b>                                                                                                                                                                                                                                                               |
| Definition                             | This indicator tracks the number of CVE programs implemented in a certain region, both by the US and its partners. Countering Violent Extremism is described in the US national strategy and policy as the collective efforts of the United States and its partners to diligently undermine the spread of violent extremism and impede the radicalization process around the world in an effort to deny terrorists the next generation of recruits. |
| Linkage to Long-Term Outcome or Impact | The long-term outcome is a reduction in the number of hotspots of recruitment for terrorism. The assumption is that programs that focus on countering violent extremism will help deter vulnerable individuals from joining terrorist groups, which will reduce hotspots in the long-term.                                                                                                                                                          |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Unit of Measure                        | Number of CVE programs.                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Use of Indicator                       | The information will be used for planning, program adjustments, budget decisions, and accountability of funds spent by Bureau-level planners, and in-country program managers.                                                                                                                                                                                                                                                                      |
| Data Source and Reporting Frequency    | <ul style="list-style-type: none"> <li>• Review of Project/Program Documents</li> <li>• Direct Observation</li> </ul>                                                                                                                                                                                                                                                                                                                               |
| Known Data Limitations                 | Reliability: Although many countries are beginning to implement CVE programs, there are varying definitions of CVE. It may be some time before CVE programming is standardized.                                                                                                                                                                                                                                                                     |
| Baseline Timeframe                     | Quantitative and qualitative data is currently being collected on CVE programming in certain at-risk areas. Such data will determine the number of CVE programs currently being implemented. Initial baselines will be established by end of 2011.                                                                                                                                                                                                  |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

### **1.1.3 – Governments' Capabilities**

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| Indicator                              | <b>1.1.3-2 Number of students trained in anti-terrorism topics and skills through the Anti-Terrorism Assistance (ATA) program</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Definition                             | This indicator registers the numbers of students trained by ATA supported programs. In order to be considered "trained" a student must successfully complete a course, which usually includes a test administered at the end to measure the knowledge and skills acquired during the course. The student may be counted once for each course attended.                                                                                                                                                                                                                                                                                                                                                                                    |
| Linkage to Long-Term Outcome or Impact | The number of people trained in specific areas is one indicator of the scope and extent of the progress toward achieving long-term strategic and programmatic objectives in those same areas. Training more or fewer people could have a rough correlation to the speed and extent of capacities built in certain areas.                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Unit of Measure                        | Number of students                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Use of Indicator                       | Bureau-level planners and program managers will use this data to plan future course offerings, make program adjustments, inform budget decisions, and report on program output.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Data Source and Reporting Frequency    | DS/T/ATA, in collaboration with implementers on the ground (RSO and/or in-country program managers), will generate this data from course rosters and attendance records on an annual basis.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Known Data Limitations                 | Although the indicator itself is appropriate and workable for its intended purpose, the precision and reliability of its target-related data are often uncontrollably influenced by a number of related factors. These influences include, but are not limited to the following: civil strife; national political will; bilateral and regional relationships; absorptive capacity of the partner nation; other donor nation interaction; religious and cultural impediments; resistance to vetting of participants on human rights; operational tempo of the US embassy and partner nation law enforcement organizations to be trained; serious health hazards; environmental disasters; and inconsistencies in program out-year funding. |
| Baseline Timeframe                     | Fiscal year 2010                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Disaggregate(s)                        | Sex                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

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| Indicator                              | <b>1.1.3-6 Number of specific anti-terrorism capacity-building programmatic objectives achieved, as defined in the Country Assistance Plans (CAPs) for ATA partner nations</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Definition                             | <p>Programmatic objectives, including performance targets and performance indicators, are explicitly defined in a Country Assistance Plan (CAP) for each ATA partner nation. A programmatic objective is considered to have been achieved when the critical performance targets have been met.</p> <p>The ATA partner nations are: Afghanistan, Algeria, Antigua and Barbuda, Argentina, Bahamas, Bahrain, Bangladesh, Barbados, Bosnia and Herzegovina, Brazil, Burkina Faso, Chad, Chile, Colombia, Djibouti, Dominica, Dominican Republic, Ecuador, Egypt, Ethiopia, Grenada, India, Indonesia, Iraq, Jamaica, Jordan, Kazakhstan, Kenya, Kyrgyz Republic, Lebanon, Malaysia, Maldives, Mali, Mauritania, Mexico, Morocco, Nepal, Niger, Nigeria, Oman, Pakistan, Panama, Paraguay, Peru, Philippines, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Senegal, Somalia, South Africa, Tajikistan, Tanzania, Thailand, Trinidad and Tobago, Tunisia, Turkey, Turkmenistan, Uganda, and Yemen.</p> |
| Linkage to Long-Term Outcome or Impact | As explicitly defined in the Country Assistance Plan (CAP) for each ATA partner nation, achievement of the programmatic objective(s) directly contributes to the achievement of broader, long-term strategic objectives, which may be considered the program's ultimate outcome and impact.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Use of Indicator                       | The data will be used by S/CT and Office of Antiterrorism in the Diplomatic Security's Training Directorate (DS/T/ATA) DS/T/ATA planners and program managers to inform future planning, program adjustments, and budget decisions as well as to report, account for, and justify funds spent.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Data Source and Reporting Frequency    | DS/T/ATA, in collaboration with implementers on the ground (RSO and/or in-country program managers), will generate this data on an annual basis based on in-country assessments of ATA partner nation capacities.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Known Data Limitations                 | Although the indicator itself is appropriate and workable for its intended purpose, the precision and reliability of its target-related data are often uncontrollably influenced by a number of related factors. These influences include, but are not limited to the following: civil strife; national political will; bilateral and regional relationships; absorptive capacity of the partner nation; other donor nation interaction; religious and cultural impediments; resistance to vetting of participants on human rights; operational tempo of the US embassy and partner nation law enforcement organizations to be trained; serious health hazards; environmental disasters; and inconsistencies in program out-year funding.                                                                                                                                                                                                                                                                            |
| Baseline Timeframe                     | Baseline to be established by each Operating Unit. Due to implementation of a new objective evaluation system in FY 2011, and                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

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|                 | the two- to three-year cycle of on-site program reviews collecting objective evaluation data, the first fully valid comparative analyses will be conducted during the FY 2014 update of the Country Assistance Plans. |
| Disaggregate(s) | N/A                                                                                                                                                                                                                   |

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| Indicator                              | <b>1.1.3-7 Number of Counterterrorism Engagement-funded multilateral training and capacity building activities conducted by multilateral organizations that promote effective counterterrorism policies and programs (S/CT only)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Definition                             | This indicator provides the number of CTE-funded activities conducted through multilateral fora that promote effective counterterrorism policies and programs in areas such as the promotion of rule of law and international counterterrorism instruments and frameworks; countering violent extremism; border security, including aviation, maritime and travel document security; critical infrastructure protection including cyber security; and counterterrorist financing. An effective counterterrorism policy or program is defined as a set of capabilities and/or procedures that improve a nation's capacity to prevent, combat, and respond to acts of terrorism; addresses identified vulnerabilities or gaps in existing capacity; and respects human rights and rule of law. An activity is defined as a specific, individual training or capacity building initiative, such as an instructional or awareness raising workshop, manual of best practices, seminar, or exercise. |
| Linkage to Long-Term Outcome or Impact | The longer-term desired impact is to strengthen multilateral organizations' ability to promote more effective policies and programs by working with other government agencies, nongovernmental organizations, and civil society. This indicator will allow S/CT to measure our work to build political will and capacities among foreign government officials and civil societies to combat terrorism.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Unit of Measure                        | Number of training initiatives resulting from projects in multilateral fora. This includes projects that result in training events (i.e. workshops and seminars) as well as projects that produce tangible training documents (i.e. manuals & publications).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Use of Indicator                       | Information generated will be used for future planning, program adjustments, budget decisions, and accountability of funds spent for S/CT.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Data Source and Reporting Frequency    | Throughout each fiscal year, S/CT will collect relevant data from multilateral organizations, including through grant reports prepared by multilateral organizations describing completed training and capacity building activities. There will be direct observations of workshops conducted via S/CT.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Known Data Limitations                 | Multilateral capacity building is a complex area of work not easily characterized by quantitative measures. Other qualitative considerations like filling key gaps in existing multilateral work and crafting capacity building activities for maximum long-term impact are important measures of progress. While imperfect, the number of training and capacity building activities conducted provides the best quantifiable indicator of the impact of S/CT's multilateral efforts.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Baseline Timeframe                     | Fiscal year 2010                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

## **1.2 – Combatting Weapons of Mass Destruction (WMD)**



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| Indicator                              | <b>1.2-2 Aggregate bilateral country Rating Assessment Tool score demonstrating the status of an effective and institutionalized export control system that meets international standards across all program countries</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Definition                             | This is an assessment via an ISN-developed Rating Assessment Tool of the status of strategic trade control systems in all countries where Export Control and Related Border Security (EXBS) assistance is provided. Note that this is a program-wide measure, covering all countries (50+) with which EXBS has bilateral programs. This differs from the indicator “Annual Rate of advancement towards the implementation of a developed and institutionalized strategic trade control system meeting international standards”, which assesses individual EXBS bilateral programs. The individual bilateral program assessments discussed below serve as the basis for this program-wide assessment. ISN first assesses bilateral programs individually. Then, all of that bilateral assessment info is aggregated into a program-wide assessment. |
| Linkage to Long-Term Outcome or Impact | Strong strategic trade control systems are the front line of U.S. efforts to prevent WMD proliferation. The objective is to have the EXBS program enhance countries’ capacities to interdict unlawful transfers of dangerous technologies and to recognize and reject transfer requests that would contribute to proliferation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Unit of Measure                        | Numerical country score Assessment methodology is based on a 419-point Rating Assessment Tool, which is applied to all EXBS partner countries annually to derive country-specific scores. Assessments of individual EXBS country programs (50+) first are conducted by a mix of independent third parties commissioned by ISN (funds permitting), and by ISN itself. ISN then averages scores across all countries to provide an overall EXBS program score for the given fiscal year. ISN aims for a average 4% increase across all countries receiving assistance.                                                                                                                                                                                                                                                                               |
| Use of Indicator                       | This information is used in Washington for overall EXBS program planning and adjustments by program officers and evaluators. This indicator is specific to ISN.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Data Source and Reporting Frequency    | As funding permits, individual country assessments are conducted by independent third parties commissioned by ISN. Where funding is unavailable for third party assessment, ISN internally assesses the given country based on information received from project implementers, reviews of pertinent documents, and direct observation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Known Data Limitations                 | No known limitations. How does the assessment guard against interviewer bias and reliability in terms of the methodology for implementation across the board. Are there objective data sources for all 419 points of the rating tool?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Baseline Timeframe                     | ISN began reporting on this indicator in the CBJ in FY09                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

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| Indicator                              | <b>1.2-3 Overall bilateral country Rating Assessment Tool score demonstrating status of an effective and institutionalized strategic trade control system meeting international standards</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Definition                             | This is an assessment of the overall status of strategic trade control systems in a particular country where Export Control and Related Border Security (EXBS) assistance is provided. What is the strategic trade control system and what rating scale is used? Note This indicator differs from the indicator “Average yearly rate of advancement towards the implementation of a developed and institutionalized export control system that meets international standards across all program countries”, because it assesses individual EXBS bilateral programs. The individual bilateral program assessments serve as the basis for the program-wide assessment. ISN first assesses bilateral programs individually. Then, all of that bilateral assessment info is aggregated into a program-wide assessment. |
| Linkage to Long-Term Outcome or Impact | Strong strategic trade control systems are the front line of U.S. efforts to prevent WMD proliferation. The objective is to have the EXBS program enhance countries’ capacities to interdict unlawful transfers of dangerous technologies and to recognize and reject transfer requests that would contribute to proliferation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Unit of Measure                        | Numerical country score assessment methodology is based on a 419-point Rating Assessment Tool, which is applied to all EXBS partner countries annually to derive country-specific scores. Assessments of individual EXBS country programs (50+) are conducted by a mix of independent third parties commissioned by ISN (funds permitting), and by ISN itself. ISN aims for a 4% annual increase for each country.                                                                                                                                                                                                                                                                                                                                                                                                 |
| Use of Indicator                       | This indicator is for embassies to use when reporting on EXBS programs in their country. In practice, ISN/ECC often does this for the embassies. This indicator information feeds into ISN/ECC’s overall assessment of EXBS program effectiveness and is used for program planning and adjustments.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Data Source and Reporting Frequency    | As funding permits, individual country assessments are conducted by independent third parties commissioned by ISN. Where funding is unavailable for third party assessment, ISN internally assesses the given country based on information received from project implementers, reviews of pertinent documents, and direct observation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Known Data Limitations                 | No known limitations – see comments on the first indicator.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Baseline Timeframe                     | 2011                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

## **1.2.1 – Counter WMD Proliferation and Combat WMD Terrorism**

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.2.1-2 Number of participants trained in strategic trade controls</b>                                                                                                                                                                                                                                                                                                                                                                                                     |
| Definition                             | This registers the number of host country personnel trained under Export Control and Related Border Security (EXBS) program assistance each year. This is in-service, technical training for host government officials at all levels of government involved in strategic trade controls. The indicator is a summation of the total participants enrolled in a given course over the calendar year. Persons attending two or more courses would be counted twice.              |
| Linkage to Long-Term Outcome or Impact | Training is a critical component of the EXBS program in a particular country, and supports higher scores of the EXBS Rating Assessment Tool.                                                                                                                                                                                                                                                                                                                                  |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Unit of Measure                        | Number.                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Use of Indicator                       | This Indicator is for use by embassies where baseline Rating Assessment Tool scores are not available (posts should contact ISN/ECC if unsure of availability). It will feed into overall information used in Washington for program planning and adjustments. This is primarily an indicator for countries that are not using a Rating Assessment Tool, but need to report on Strategic Trade Controls. Please consult ISN/ECC to determine if this indicator is applicable. |
| Data Source and Reporting Frequency    | Data for this information is generated by information received from project implementers and reviews of pertinent documents.                                                                                                                                                                                                                                                                                                                                                  |
| Known Data Limitations                 | No known limitations                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Baseline Timeframe                     | Baseline to be established by each operating unit                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Disaggregate(s)                        | Sex                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

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|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.2.1-3 Number of Global Initiatives to Combat Nuclear Terrorism (GINCT) activities conducted by partner nations</b>                                                                                                                                                                                                                                                                                                                                                                                                |
| Definition                             | GICNT activities are workshops, seminars, exercises, and outreach efforts that share best practices in order to build partner capacities to prevent and respond to the threat of nuclear terrorism.                                                                                                                                                                                                                                                                                                                    |
| Linkage to Long-Term Outcome or Impact | In order to achieve the GICNT's objective of enhancing international capacity to deter, detect, and respond to nuclear terrorism, it is important that as many of the 82 partner countries as possible participate in GICNT activities. Many countries need help in order to participate or to host activities, and we use Weapons of Mass Destruction Terrorism (WMDT) assistance for these purposes. This indicator measures buy-in from less-capable partner countries, as well as our efficiencies in using funds. |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Use of Indicator                       | The information generated by this indicator is used by Washington program officers as a check on whether the program is working as planned and therefore in program planning and adjustments.                                                                                                                                                                                                                                                                                                                          |
| Data Source and Reporting Frequency    | Data for this indicator will be based on ISN'S review of program documents, direct observation and interviews, and consultations.                                                                                                                                                                                                                                                                                                                                                                                      |
| Known Data Limitations                 | No known limitations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Baseline Timeframe                     | 2011                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |

|                                        |                                                                                                                                                                                                                                                                                                                                                                                              |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.2.1-4 Number of actions to prevent nuclear smuggling</b>                                                                                                                                                                                                                                                                                                                                |
| Definition                             | This indicator reports on the sum of the number of country assessments made; the number of projects that received funding; and the number of anti-nuclear smuggling activities organized                                                                                                                                                                                                     |
| Linkage to Long-Term Outcome or Impact | If terrorists acquire nuclear materials, it will probably be by, or involve, smuggling. The assumption is that through the Preventing Nuclear Smuggling Program, we will improve international capacities to prevent, detect, and respond to nuclear smuggling. This indicator records progress made in three basic elements of our Weapons of Mass Destruction Terrorism (WMDT) assistance. |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                       |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                       |
| Use of Indicator                       | The information generated by this indicator is used to check that the program is functioning as planned. It will be used for program planning and adjustment.                                                                                                                                                                                                                                |
| Data Source and Reporting Frequency    | Data for this indicator will be based on ISN'S review of assessments completed, other program documents, confirmed pledges from foreign donors, direct observation, interviews and consultations.                                                                                                                                                                                            |
| Known Data Limitations                 | No known limitations                                                                                                                                                                                                                                                                                                                                                                         |
| Baseline Timeframe                     | Baseline to be established by the operating unit                                                                                                                                                                                                                                                                                                                                             |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                          |

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|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.2.1-5 Number of activities funded by the Global Threat Reduction (GTR) program across all program elements</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Definition                             | This will record the sum of the number of discrete activities performed in each country/region funded by the GTR program relating to biological, chemical, and nuclear scientist engagement. Discrete activities include, but are not limited to, trainings, conferences, projects, grants to partner scientists and institutions, cooperative research projects, and physical security upgrades for key institutions.                                                                                                                                                                |
| Linkage to Long-Term Outcome or Impact | A key tool in the USG effort to prevent the spread of WMD, the GTR program focuses on preventing terrorist, other non-state actor, and proliferant state actor access to WMD expertise. We engage scientists so they do not have economic incentives to proliferate. We also train in security and safety best practices, provide codes of ethics and dual-use education, and also assist with WMD materials security.                                                                                                                                                                |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Use of Indicator                       | Information generated by this indicator will assist ISN/CTR's program managers in ensuring proper reporting of funds spent. Broken out regionally, this is a proxy measure for the depth of engagement, a key indicator for frontline states.                                                                                                                                                                                                                                                                                                                                         |
| Data Source and Reporting Frequency    | Data for this indicator will be based on ISN's review of project documents and direct observation and consultations. Program officers responsible for the agreement as well as the discrete projects within each region will review reporting data submitted quarterly by implementers. These data include the events performed within the quarter, the spend down by line item in the statement of work, and deliverables (e.g., photos, reports, etc.) associated with the activities. Program officers also attend events/activities themselves and can directly observe outcomes. |
| Known Data Limitations                 | There are some limitations regarding the timeliness of data reported by implementers. Not all implementers abide by reporting guidelines in a timely manner which could delay indicator reporting. ISN is working with appropriate partners to address this issue.                                                                                                                                                                                                                                                                                                                    |
| Baseline Timeframe                     | Baseline to be established by the operating unit                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

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|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.2.1-6 Number of Activities carried out to Improve Pathogen Security, Laboratory Biosafety, and Biosecurity</b>                                                                                                                                                                                                                                                                                                                                         |
| Definition                             | Number of trainings, conferences, projects, and grants funded by the Global Threat Reduction (GTR) Biosecurity Engagement Program.                                                                                                                                                                                                                                                                                                                          |
| Linkage to Long-Term Outcome or Impact | In support of the overall effort to prevent WMD proliferation, a key objective is ensuring pathogen security. The GTR Biosecurity Engagement Program (BEP) has three pillars of engagement: laboratory biosafety and biosecurity; cooperative research; and disease detection and control. This Indicator tracks the number of activities to improve biosecurity and laboratory biosafety that BEP can organize and fund in priority countries and regions. |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Use of Indicator                       | ISN/CTR uses the information generated by this indicator to check reporting and accountability of funds spent.                                                                                                                                                                                                                                                                                                                                              |
| Data Source and Reporting Frequency    | Data for this indicator will be based on review of project documents, and direct observation and consultations.                                                                                                                                                                                                                                                                                                                                             |
| Known Data Limitations                 | There are some limitations regarding the timeliness of data reported by implementers.                                                                                                                                                                                                                                                                                                                                                                       |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                                           |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                         |



## **1.3 – Stabilization Operations and Security Sector Reform**

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|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3-8 Country score on “Index of State Weakness in the Developing World”</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Definition                             | This third party index scores 141 developing countries according to their relative performance in four critical spheres: economic, political, security, and social welfare. There are 5 indicators in each sphere. A weak state is defined as a country that lacks the essential capacity and/or will to fulfill four sets of critical government responsibilities: fostering an environment conducive to sustainable and equitable economic growth; establishing and maintaining legitimate, transparent, and accountable political institutions; securing their populations from violent conflict and controlling their territory; and meeting the basic human needs of their population. |
| Linkage to Long-Term Outcome or Impact | The overall goal of 1.3 is to stabilize countries and reform their security sector. This index includes a wide variety of measures that, when compared year to year, demonstrate the progress of the state toward strength. Strength in security, when coupled with economic, political and social strength are most likely to yield a stable country.                                                                                                                                                                                                                                                                                                                                      |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Unit of Measure                        | Index score                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Use of Indicator                       | This indicator will provide an overview of the general strength of a country. It will guide budget decisions and program planning at a summary level at Congress and Bureau level planning. It answers questions, such as: Given other concerns of a region and country, should we provide this country with funding to ensure it is strengthened? And, grossly, at what level of funding? Which developing countries should we consider funding? Which developing countries show the greatest overall weakness?                                                                                                                                                                            |
| Data Source and Reporting Frequency    | Brookings Institute published the process and original findings in 2008. The 20 indicators that make up the weakness scale are publicly available datasets. If Brookings does not publish annual updates, the data can be collected and the process replicated by DOS personnel.                                                                                                                                                                                                                                                                                                                                                                                                            |
| Known Data Limitations                 | The index is a third party measure that does not have direct USG attribution. The process may need to be replicated to produce the scale annually. Although untested, it has face validity, integrity, precision, and reliability.                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Baseline Timeframe                     | Baseline is 2008.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

### **1.3.1 – Operations Support**

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|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.1-10 Improvements (or deterioration) in the security situation as ascertained through UN Department of Safety &amp; Security (UN DSS) reports</b>                                                                                                                                                                                                                                                                                                                                                                                   |
| Definition                             | <p>The UN DSS prepares reports containing qualitative measures of security situations in the country.</p> <p>Responses to this indicator should be in narrative only. For the indicator target and results fields, enter “N/A.” Enter the narrative response in the indicator narrative box entitled “Rationale for Out-Year Targets and Other Explanations.”</p>                                                                                                                                                                          |
| Linkage to Long-Term Outcome or Impact | The overall focus of 1.3.1 is providing support for various operations (e.g., peacekeeping, humanitarian crises) and assisting countries in becoming more stable. When the UN has a relevant security mission in a country, it prepares reports that discuss the operations and the monthly or annual impact of those operations. They are housed in the UN headquarters of that mission. If there is no UN mission, there are no reports. Reports will vary widely on the type and scope of the information, as relevant to that country. |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Unit of Measure                        | Qualitative reporting of results of operations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Use of Indicator                       | This indicator will provide a periodic update of the state of security and the related stability in a country where the UN has related programs. This indicator will be used for planning programs and adjusting the programs throughout the year. The program officer and Bureau may make decisions in funding programs based on these qualitative indicators.                                                                                                                                                                            |
| Data Source and Reporting Frequency    | The reporting varies by location and type of program. Usually the reports are generated monthly or annually by the UN DSS in country office.                                                                                                                                                                                                                                                                                                                                                                                               |
| Known Data Limitations                 | These data are qualitative, sight specific, unvalidated, and periodic. There are no comparisons, thus, they may be manipulated by the reporter. Their validity, integrity, precision, and reliability are at risk and should be monitored in country.                                                                                                                                                                                                                                                                                      |
| Baseline Timeframe                     | These reports have existed for years in any country that has a related program.                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Disaggregate(s)                        | No disaggregates                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                          |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.1-3 Number of exercises host country military personnel participate in with US or coalition forces as a result of USG assistance</b>                                                                                                                                                                                                                                                              |
| Definition                             | The number of times a year a country's military or security forces engage in a military exercise with US or coalition forces                                                                                                                                                                                                                                                                             |
| Linkage to Long-Term Outcome or Impact | One prong of providing support for various operations (e.g., peacekeeping, humanitarian crises) and assisting countries in becoming more stable is for the country to demonstrate its ability to assist in security in its own country and regionally. One measure of this objective is to enhance foreign security forces to deploy to an operation.                                                    |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                   |
| Unit of Measure                        | Number of exercises. Higher = better                                                                                                                                                                                                                                                                                                                                                                     |
| Use of Indicator                       | This indicator will provide one measure of the country's ability to assist in security. Together with other measures, program planners can determine whether additional funding should be focused on strengthening this aspect of a country.                                                                                                                                                             |
| Data Source and Reporting Frequency    | The Security Assistance Office or Defense Attaché Office; annual                                                                                                                                                                                                                                                                                                                                         |
| Known Data Limitations                 | This indicator will partially tell the story of a country's capability, but does not take into account any national or strategic level variables that may influence a country's decision to deploy, regardless of capability levels. Another outside variable is the number of deployment opportunities during a year. A countries ability to contribute differs from the quality of their contribution. |
| Baseline Timeframe                     | Existing measure that has been reported on in 2010.                                                                                                                                                                                                                                                                                                                                                      |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                      |

|                                        |                                                                                                                                                                                                                                                                                                             |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.1-6 Number of fulltime, trained host nation peace-keeping staff</b>                                                                                                                                                                                                                                  |
| Definition                             | This indicator registers all host nation staff that are specifically trained within the last year by USG for peacekeeping operations in existing organizations (e.g., ECOWAS, AU etc.)                                                                                                                      |
| Linkage to Long-Term Outcome or Impact | One prong of providing support for various operations (e.g., peacekeeping, humanitarian crises) and assisting countries in becoming more stable is to train staff. This indicator shows whether a peacekeeping organization is increasing the number of staff trained to engage in peacekeeping operations. |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                      |
| Unit of Measure                        | Number of people                                                                                                                                                                                                                                                                                            |
| Use of Indicator                       | This indicator will provide one measure of the country's ability to prepare to assist in security. Together with other measures, program planners can determine whether additional funding should be focused on training.                                                                                   |
| Data Source and Reporting Frequency    | Implementers and/or operating units; annual or end of project.                                                                                                                                                                                                                                              |
| Known Data Limitations                 | The data collected does not distinguish whether individuals took multiple training courses in our year, which may skew the results. Training does not imply implementing knowledge. This measure does not indicate whether the training knowledge has changed behavior.                                     |
| Baseline Timeframe                     | Existing measure that has been reported on in 2010.                                                                                                                                                                                                                                                         |
| Disaggregate(s)                        | Sex                                                                                                                                                                                                                                                                                                         |

### **1.3.2 – Disarmament, Demobilization & Reintegration (DDR)**

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.2-9 Percent of weapons collected from ex-combatants and armed belligerents with USG assistance</b>                                                                                                                                                                                                                                                                                                                                    |
| Definition                             | The percent of weapons collected is calculated by using the number of weapons collected from ex-combatants and armed belligerents with USG assistance (existing measure) divided by number of arms available for collection from reintegrated personnel. The number of weapons collected is an existing measure. The total number of weapons to be collected is most likely an estimate of the number of troops expected to be transitioned. |
| Linkage to Long-Term Outcome or Impact | The overall goal is to transition combatants/belligerents from war-to- peace in post-conflict environments. One aspect of this transition (disarmament) is to reduce the ability to use force for change by collecting weapons. This measure provides the percent of progress of weapons collection toward the end goal. Slow progress to disarm may indicate the instability of the area or country.                                        |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Unit of Measure                        | Percent (higher = better)                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Use of Indicator                       | This measure will be used by program officers to determine the progress toward the end goal of disarmament. It will provide information on areas where disarmament is working most effectively and which areas need further work. Also, it is a gross measure of DDR for Congress.                                                                                                                                                           |
| Data Source and Reporting Frequency    | Implementing partners (through the UN or the World Bank or directly in cases where the USG funds the activity) will provide reports; annual or end of project.                                                                                                                                                                                                                                                                               |
| Known Data Limitations                 | Measuring the total number of weapons available to be collected is an estimation rather than a count and is subject to error.                                                                                                                                                                                                                                                                                                                |
| Baseline Timeframe                     | Baseline needs to be established                                                                                                                                                                                                                                                                                                                                                                                                             |
| Disaggregate(s)                        | Age, area (e.g., state, county, or other divider); Numerator, Denominator                                                                                                                                                                                                                                                                                                                                                                    |



|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Indicator</b>                       | <b>1.3.2-10 Percent of forces transitioning from war to peace status</b>                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Definition                             | The percent of forces in transition is calculated by counting the number of forces currently in the transitioning process with USG direct or indirect assistance plus those who have completed the process divided by the total prior force to be reintegrated. The total prior force to be reintegrated is most likely an estimate of the number of troops expected to be transitioned. Forces in transition should include the forces that fought or supported, and their family members. |
| Linkage to Long-Term Outcome or Impact | The overall goal is to transition members from war-to- peace in post-conflict environments                                                                                                                                                                                                                                                                                                                                                                                                  |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Unit of Measure                        | Percent (higher = better)                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Use of Indicator                       | This measure will be used by program officers as one measure of the progress toward the end goal of reintegration. It will provide geographic detail to determine where reintegration is working most effectively and which areas need further work. Also, it is a gross measure of DDR for Congress.                                                                                                                                                                                       |
| Data Source and Reporting Frequency    | Implementing partners (through the UN or the World Bank or directly in cases where the USG funds the activity) will provide reports; annual or end of project.                                                                                                                                                                                                                                                                                                                              |
| Known Data Limitations                 | Measuring the total number of forces to be reintegrated is estimation rather than a count and is subject to error.                                                                                                                                                                                                                                                                                                                                                                          |
| Baseline Timeframe                     | Baseline needs to be established                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Disaggregate(s)                        | Sex; Numerator, Denominator                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

|                                        |                                                                                                                                                                                                                                                                                               |
|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.2-11 Number of child soldiers identified</b>                                                                                                                                                                                                                                           |
| Definition                             | Child soldiers mean combatant under age 18, engaged in combat                                                                                                                                                                                                                                 |
| Linkage to Long-Term Outcome or Impact | Child soldiers are an egregious child rights violation and a form of human trafficking. All efforts to identify and then assist victims of this form of trafficking to reintegrate are a positive step.                                                                                       |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                        |
| Unit of Measure                        | Number of child soldiers                                                                                                                                                                                                                                                                      |
| Use of Indicator                       | Counting the number of child soldiers will provide a crude measure of the needs for reintegrative and long term social service programming in a country. Congress and the Bureaus may use this measure to identify funding, while program officers will use it to direct programming dollars. |
| Data Source and Reporting Frequency    | Implementing partners (through the UN or the World Bank or directly in cases where the USG funds the activity) will provide reports; annual or end of project.                                                                                                                                |
| Known Data Limitations                 | Simply counting the identified victims does not identify the total size of the problem. Also, it does not shed light on the effectiveness of programming, if it exists.                                                                                                                       |
| Baseline Timeframe                     | Baseline needs to be established                                                                                                                                                                                                                                                              |
| Disaggregate(s)                        | Sex                                                                                                                                                                                                                                                                                           |

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.2-12 Percent of transition programs available to the total force to be reintegrated that contain the three core elements</b>                                                                                                                                                                                                                                                                                                                                                                 |
| Definition                             | <p>The percent of transition programs with the core elements is measured by determining how many of the transition programs have the three core elements (as measured by :)</p> <ul style="list-style-type: none"> <li>• School/vocational education/employment: Yes/ No / Partly Health (physical and mental): Yes/ No/ Partly</li> <li>• Social: Yes/ No/ Partly</li> </ul> <p>This then is divided by the total number of programs assessed.<br/>Content in all programs should be assessed.</p> |
| Linkage to Long-Term Outcome or Impact | The overall goal is to transition members from war-to- peace in post-conflict environments. One prong of this transition is to provide alternative means of support, such as employment or education, social reintegration assistance, and health care. This measure provides the percent of programs that contain these core elements to successful reintegration.                                                                                                                                 |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Unit of Measure                        | Percent                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Use of Indicator                       | This indicator will provide guidance to program officers on the availability of the basic program elements in each area/county/city. Because this measure is a proxy for the general progress toward reintegration, this measure should provide insight into the need for funding at the Program officer level.                                                                                                                                                                                     |
| Data Source and Reporting Frequency    | Implementing partners (through the UN or the World Bank or directly in cases where the USG funds the activity) will provide reports; annual or end of project.                                                                                                                                                                                                                                                                                                                                      |
| Known Data Limitations                 | The measure of programs with these core elements serving as a proxy for reintegration assumes that these are the core elements that the combatants and their families and supporters need. It also assumes that the quality of services in each of the core elements is rigorous and meaningful. This must be a judgment and could be erroneous.                                                                                                                                                    |
| Baseline Timeframe                     | Baseline needs to be established                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Disaggregate(s)                        | Area (e.g., state, county, or other divider); Numerator, Denominator                                                                                                                                                                                                                                                                                                                                                                                                                                |

### **1.3.3 – Destruction and Security of Conventional Weapons**

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.3-5 Percent of weapons destroyed</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Definition                             | <p>The number of man-portable air defense systems (MANPADS) that are destroyed with USG assistance. Destruction means an irreversible process by which the weapons (or their parts) cannot be used as weapons again.</p> <p>Plus</p> <p>The number of small arms and light weapons destroyed with USG assistance. Destruction means an irreversible process by which the weapons (or their parts) cannot be used as weapons again.</p> <p>Divided by</p> <p>The total number of MANPADS and other weapons to be destroyed. This number is an estimate based on available intelligence.</p> |
| Linkage to Long-Term Outcome or Impact | Destruction of weapons reduces availability and prevents access to them by criminals, black market stakeholders, insurgent groups and terrorist purchasers. This sub-element is also supported by programs that are either funded from the State Operations Budget (e.g., engagement in multilateral exports) or programs that support wider objectives (e.g., border security initiatives). Export controls, border controls, stockpile security, and destruction are complementary efforts – all necessary to achieving the overall element goal.                                        |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Unit of Measure                        | Percent (higher = better)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Use of Indicator                       | This indicator will be used by military and civilian response members to gauge the relative availability of weapons by undesirable populations. It will provide input into funding decisions by Congress and Bureaus. It will inform program managers on where to focus program dollars.                                                                                                                                                                                                                                                                                                   |
| Data Source and Reporting Frequency    | Annual reporting by the organization that conducts the destruction (e.g., contractor, NGO);                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Known Data Limitations                 | Estimating the number of available weapons is an art, not a science.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Baseline Timeframe                     | Two of the measures are existing, thus estimating the denominator will provide the baseline on prior years data collection.                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Disaggregate(s)                        | By weapon type; Numerator, Denominator                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |

|                                        |                                                                                                                                                                                                                                                                                  |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.3-6 Percent of man-portable air defense systems (MANPADS) accounted for and verified</b>                                                                                                                                                                                  |
| Definition                             | The total number of MANPADS accounted for is the Department of State's inventory, including the number of MANPADS destroyed, subtracted from the total number of MANPADS identified by serial number, including those that have been destroyed.                                  |
| Linkage to Long-Term Outcome or Impact | One of the goals of this element is to destroy and/or secure weapons. This indicator provides a measure of how well the country is doing in securing its MANPADS.                                                                                                                |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                           |
| Unit of Measure                        | Percent (lower = better)                                                                                                                                                                                                                                                         |
| Use of Indicator                       | This indicator will be used in program planning and funding decisions by Congress, Bureaus, and program managers. If significant changes occur in the percent of MANPADS accounted for, it should be investigated. It could be a sign of inappropriate disposal/sale of MANPADS. |
| Data Source and Reporting Frequency    | Report by the organization that conducts the destruction (e.g., contractor or NGO and host government); annual or end of project.                                                                                                                                                |
| Known Data Limitations                 | Incomplete lists of MANPADS will cause inaccuracies.                                                                                                                                                                                                                             |
| Baseline Timeframe                     | Baseline needs to be established at the first count.                                                                                                                                                                                                                             |
| Disaggregate(s)                        | Numerator, Denominator                                                                                                                                                                                                                                                           |

### **1.3.4 – Explosive Remnants of War**

|                                        |                                                                                                                                                                                                                                                                                           |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.4-7 Overall percent of roads and railroads cleared of potential harmful effects of explosive ordnance (trend data)</b>                                                                                                                                                             |
| Definition                             | Potential harmful effects are measured by two numbers: the number of miles of roads and railroads cleared of explosive ordnance divided by the total miles of roads and railroads in host country. This percent is compared to prior years to determine the amount of change/improvement. |
| Linkage to Long-Term Outcome or Impact | The goal of this element is to reduce the harmful global effects of conventional weapons Post-conflict strategies include, as an integral component, support for demining and destruction of abandoned and unexploded ordnance. This measure addresses the post conflict strategies.      |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                    |
| Unit of Measure                        | Average percent change in miles and square miles (higher = better)                                                                                                                                                                                                                        |
| Use of Indicator                       | This indicator will provide Congress with a measure of success for money expended on de-mining activities. Program officers can use these data to increase or decrease activities.                                                                                                        |
| Data Source and Reporting Frequency    | Implementing partners and/or operating units; annual or end of project reports.                                                                                                                                                                                                           |
| Known Data Limitations                 | Follow-up to square miles returned to productive use may be difficult when program ends                                                                                                                                                                                                   |
| Baseline Timeframe                     | The baseline would be the first year there is a measure.                                                                                                                                                                                                                                  |
| Disaggregate(s)                        | Numerator, Denominator                                                                                                                                                                                                                                                                    |



|                                        |                                                                                                                                                                                                                                                                                                                                     |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.4-8 Percent of countries where the number of injured victims from conventional weapons is reduced</b>                                                                                                                                                                                                                        |
| Definition                             | Injured is defined as wounded or killed. Count of the number of victims injured from conventional weapons by country. This should be compared to prior years, using trend data. These effects will be aggregated to calculate the percentage of countries currently receiving U.S. assistance where the injuries have been reduced. |
| Linkage to Long-Term Outcome or Impact | The goal of this element is to reduce the harmful global effects of conventional weapons. Post-conflict strategies include, as an integral component, support for demining and destruction of abandoned and unexploded ordnance.                                                                                                    |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                             |
| Unit of Measure                        | Count (higher = good)                                                                                                                                                                                                                                                                                                               |
| Use of Indicator                       | This indicator will provide Congress with a measure of lives saved and injured victims reduced as a direct or indirect result of USG activities.                                                                                                                                                                                    |
| Data Source and Reporting Frequency    | Implementing partners and/or operating units; annual or end of project reports.                                                                                                                                                                                                                                                     |
| Known Data Limitations                 | There is a lack of reporting, thus accuracy is questioned when counting injuries/deaths in developing countries. Using percent change is misleading if the numbers are small. Thus, a count trended across years is better.                                                                                                         |
| Baseline Timeframe                     | Baseline needs to be established during first year of count                                                                                                                                                                                                                                                                         |
| Disaggregate(s)                        | Sex, age; Numerator, Denominator                                                                                                                                                                                                                                                                                                    |

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.4-9 Index score of host nation's ability to address explosive remnants of war (ERW)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Definition                             | <p>Ability to address explosive remnants of war is defined by</p> <ul style="list-style-type: none"> <li>• development of relevant strategic plans and allocation of national resources to support strategic plans (yes=1/no=0);</li> <li>• level of technical expertise (adequate=1, inadequate=0); and (c) levels of progress towards nationally-established goals (adequate=1, inadequate=0).</li> </ul> <p>Combine the three measures to achieve a score of 0 (low) to 3 (high) ability to address ERW.</p>                               |
| Linkage to Long-Term Outcome or Impact | The goal of this element is three pronged: the harmful global effects of conventional weapons are reduced; host nation capacity to address these problems is developed; and the funding base for mine action is expanded through private sector engagement. Post-conflict strategies include, as an integral component, support for demining and destruction of abandoned and unexploded ordnance. The long-term outcome for this measure is eradication of ERWs. This indicator develops a process to measure eradication of ERWs over time. |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Unit of Measure                        | Count ranging from 0 to 3 where 3 indicates adequate and USG funding can stop.                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Use of Indicator                       | This indicator will provide Congress with a measure of the host nation's development of a sustainable process. When a nation receives a score of three USG programming dollars may end. Thus, program officers can identify when a nation is improving and when to change programming focus.                                                                                                                                                                                                                                                  |
| Data Source and Reporting Frequency    | Host nation partner and/or operating units; annual reports and documents.                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Known Data Limitations                 | This scale is simple and will not detect nuances. It is subject to inter-rater reliability problems because of its subjective measures.                                                                                                                                                                                                                                                                                                                                                                                                       |
| Baseline Timeframe                     | Baseline needs to be established.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Disaggregate(s)                        | none                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

### **1.3.5 – Immediate Protection of Civilians in Conflict**

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.5-7 Number of crimes against civilians documented by host nation citizens with USG support</b>                                                                                                                                                                                                                                                                                                                                                            |
| Definition                             | Documentation is defined by investigating, photographing and recording crimes and human rights violations. Fact finders/NGOs should be trained to report through media (radio, print, official, etc.). Counts must be made of the number of crimes against civilians by sex and adult/children that are documented by host nation citizens with USG support. Counts from year to year must be contextualized to determine if increases are positive or negative. |
| Linkage to Long-Term Outcome or Impact | The overall goal is to promote the security and fundamental rights of civilians caught in conflict through non-armed interventions and includes rapid-response mechanisms to monitor and document violations and to counter impunity. Encouraging host nation citizens to document crimes against civilians is one step in the process of ensuring fundamental rights and countering impunity.                                                                   |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Unit of Measure                        | Number of crimes documented                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Use of Indicator                       | This measure will assist in planning and developing human rights prevention programs for citizens by in-country program personnel and program officers by identifying problems.                                                                                                                                                                                                                                                                                  |
| Data Source and Reporting Frequency    | Implementing partners and/or operating units; annual or end of project reports for training. The primary data source for documentation will be counts of the various media or official reports.                                                                                                                                                                                                                                                                  |
| Known Data Limitations                 | This count is subject to many external factors, such as fear, illiteracy, etc. Thus, it is a macro level indicator and increases or decreases should be viewed in context to determine whether the situation is improving or degrading. There is a risk of double counting when collecting numbers from multiple sources.                                                                                                                                        |
| Baseline Timeframe                     | Baseline needs to be established during the first count.                                                                                                                                                                                                                                                                                                                                                                                                         |
| Disaggregate(s)                        | Sex, age (adult/children)                                                                                                                                                                                                                                                                                                                                                                                                                                        |

|                                        |                                                                                                                                                                                                                                                                                                                                                                               |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.5-8 Number of USG supported activities to stop/prevent human rights violations</b>                                                                                                                                                                                                                                                                                     |
| Definition                             | Activities are defined as a set of actions or a program. For example, a radio advertisement program targeting the general population played multiple times is one activity. A counseling program for targeted high risk ex-combatants is one activity. Counts the number of USG supported activities to stop/prevent human rights violations                                  |
| Linkage to Long-Term Outcome or Impact | The overall goal to promote the security and fundamental rights of civilians caught in conflict through non-armed interventions includes rapid-response mechanisms to monitor and document violations and to counter impunity. Activities to prevent human rights violations is a stop gap measure to pave the way for the judicial system to implement longer term measures. |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                        |
| Unit of Measure                        | Count; Qualitative narrative briefly describing each activity                                                                                                                                                                                                                                                                                                                 |
| Use of Indicator                       | This measure will assist program officers and Bureaus to develop and fund human rights programs. It will provide brief summaries of programs developed in other situations.                                                                                                                                                                                                   |
| Data Source and Reporting Frequency    | Implementing partners and/or operating units; annual or end of project.                                                                                                                                                                                                                                                                                                       |
| Known Data Limitations                 | Activities do not necessarily ensure human rights prevention.                                                                                                                                                                                                                                                                                                                 |
| Baseline Timeframe                     | Baseline needs to be established                                                                                                                                                                                                                                                                                                                                              |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                          |

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.5-9 Number of alternative efforts which avoid high-risk activities that place civilians in vulnerable and dangerous situations implemented, funded or supported by USG</b>                                                                                                                                                                                                                                                                           |
| Definition                             | Alternatives (e.g., rapid deployment unit for flashpoints of violence; surveillance of paths leading to firewood) to high-risk activities (e.g., disputes between returning diaspora and current residences claiming the same land; women or children gathering firewood alone). Count the number of and describe alternatives to high-risk activities implemented. Include the demographic (e.g., age, gender) of the target audience of the alternatives. |
| Linkage to Long-Term Outcome or Impact | The overall goal is to promote the security and fundamental rights of civilians caught in conflict through non-armed interventions. This sub-element measures the number and type of alternatives implemented. Number of alternatives implemented does not ensure change or security increase for civilians.                                                                                                                                                |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Unit of Measure                        | Count; Qualitative description                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Use of Indicator                       | This measure will assist program officers and Bureaus to develop alternative programs for high-risk activities (such as gathering water).                                                                                                                                                                                                                                                                                                                   |
| Data Source and Reporting Frequency    | Implementers and/or operating units; annual or end of project reports from implementers. This should be part of the contract with the implementers.                                                                                                                                                                                                                                                                                                         |
| Known Data Limitations                 | Difficulty aggregating the narrative data, thus losing the context, which may result in inaccurate perceptions of results.                                                                                                                                                                                                                                                                                                                                  |
| Baseline Timeframe                     | Baseline needs to be established during first data collection.                                                                                                                                                                                                                                                                                                                                                                                              |
| Disaggregate(s)                        | None.                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

### **1.3.6 – Defense, Military and Border Restructuring, Reform, and Operations**

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.6- 7 Partners' security forces' rated ability to actively maintain their territorial (land, maritime, air) integrity</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Definition                             | <p>Partners' defined as any country receiving U.S. assistance] security forces (including military, paramilitary, gendarmes, maritime security, border security, counterterrorism units, specialty units, etc.</p> <p>Maintain defined as</p> <ul style="list-style-type: none"> <li>• absence or defeat of large foreign invasions or incursions (yes/no);</li> <li>• absence or defeat or interdiction of small cross-border incursions, including those of a criminal nature (# of yes, # of no);</li> <li>• the deterrence (# of public outreach efforts or policy changes), detection (# of reports of detection), and interdiction (# of reports acted upon) of unlawful acts against the infrastructure, assets, and interests of their maritime domain, stakeholders and users. A country's territorial integrity, including self-defense against external threats, is defined as securing ungoverned/remote spaces (# of remote spaces secured), participating in regional defense (# of citizens participating in regional defense), protecting borders (# of responses to major border incidents), and providing force protection for coalition/U.S. forces (# of protection details).</li> </ul> <p>While an index may be developed in future years, at this time, it is important to collect these data and place them in a contextual discussion of the state of the country on maintaining territorial integrity. Post should rate partner ability on scale of 1-5 using these elements</p> |
| Linkage to Long-Term Outcome or Impact | The goal of this element is to maintain territorial integrity. This sub-element directly measures improvement in host nation's ability to maintain its territory without significant intervention by external partners.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Unit of Measure                        | Qualitative/narrative                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Use of Indicator                       | This indicator will provide an overview of the general strength of a country's security forces. It will guide budget decisions and program planning at a summary level at Congress and Bureau level planning. It answers questions, such as: Given other concerns of a region and country, should we provide this country with funding to ensure it is strengthened? And, grossly, at what level of funding? Which developing countries should we consider funding? Which developing countries show the greatest overall weakness in territorial integrity?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Data Source and Reporting Frequency    | In-country USG personnel responsible for security or military activities                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Known Data Limitations                 | Qualitative measures risk manipulation, inclusion of variables not directly related to territorial integrity and may lack standardization across time.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Baseline Timeframe                     | Baseline needs to be established at time of first measure.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |



|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                 |                                        |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|----------------------------------------|--|----------------------------------|---------------|--------------|-------------|----------------------|------|---------------|---------------|-------------------|------|-----------------------------------------------------------------|----------------------------------------|-----------------------------|------|--------|-------------|
| Indicator                              | <b>1.3.6-8 Overall rank of partner country's security forces' emergency disaster response services</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                 |                                        |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Definition                             | <p>Rank is defined in three levels across two key components:</p> <ul style="list-style-type: none"><li>• national interagency coordination and disaster planning;</li><li>• responses to disasters in the year of reporting.</li></ul> <p>The three levels are inadequate, promising, and adequate.</p> <p>Adequacy is defined as</p> <ul style="list-style-type: none"><li>• early warning system in place,</li><li>• services provided for the safety and medical needs of victims at the time of the emergency</li><li>• follow-up services were implemented.</li></ul> <p>Rank is sum of scores with highest score being assigned the #1 rank , etc</p> <table><tr><td>Measure both Planning &amp; Response</td><td>1) inadequate</td><td>2) promising</td><td>3) adequate</td></tr><tr><td>Early warning system</td><td>1)No</td><td>2)In progress</td><td>3)Implemented</td></tr><tr><td>Services provided</td><td>1)No</td><td>2)Some, but not sufficient to protect life and minimize impacts</td><td>3)Protected life and minimized impacts</td></tr><tr><td>Follow-up services provided</td><td>1)No</td><td>2)Some</td><td>3)Available</td></tr></table> |                                                                 |                                        |  | Measure both Planning & Response | 1) inadequate | 2) promising | 3) adequate | Early warning system | 1)No | 2)In progress | 3)Implemented | Services provided | 1)No | 2)Some, but not sufficient to protect life and minimize impacts | 3)Protected life and minimized impacts | Follow-up services provided | 1)No | 2)Some | 3)Available |
| Measure both Planning & Response       | 1) inadequate                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 2) promising                                                    | 3) adequate                            |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Early warning system                   | 1)No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 2)In progress                                                   | 3)Implemented                          |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Services provided                      | 1)No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 2)Some, but not sufficient to protect life and minimize impacts | 3)Protected life and minimized impacts |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Follow-up services provided            | 1)No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 2)Some                                                          | 3)Available                            |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Linkage to Long-Term Outcome or Impact | The goal of this element is measure the ability of the partner nation to provide essential and/or emergency disaster response services, and provide force protection for coalition/U.S. forces. This sub-element directly measures the ability to provide disaster response to its citizens.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                 |                                        |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                 |                                        |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Unit of Measure                        | Qualitative measure on a scale of 1-3                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                 |                                        |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Use of Indicator                       | This indicator will provide an overview of the general strength of a country's security forces to provide emergency response. It will guide budget decisions and program planning at a summary level at Congress and Bureau level planning. It answers questions, such as: Given other concerns of a region and country, should we provide this country with funding to ensure emergency response is strengthened? Which developing countries show the greatest overall weakness in emergency disaster response?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                 |                                        |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Data Source and Reporting Frequency    | In-country USG personnel responsible for security or military activities perception of the rankings.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                 |                                        |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Known Data Limitations                 | The scores lack inter-rater reliability and are subject to a wide variety of opinion disguised as data. They risk manipulation for political gain, thus not measuring the concept at hand.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                 |                                        |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Baseline Timeframe                     | Baseline needs to be established on year of implementation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                 |                                        |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                 |                                        |  |                                  |               |              |             |                      |      |               |               |                   |      |                                                                 |                                        |                             |      |        |             |

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.6-9 Overall rank of partner country's security forces' ability to provide emergency disaster response services</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Definition                             | <p>Ability is defined by</p> <ul style="list-style-type: none"> <li>• joint planning (# of joint planning activities / # of requests for joint planning);</li> <li>• number of actual deployments in the year of reporting (# of deployments / # of requests);</li> <li>• interoperability (total of yes=1, no=0 for each partnership activity / total number of partnership activities) and operational capability/reliability (# of partnership activities / # of requests).</li> </ul> <p>These percents will be averaged to obtain a comparable index across countries.</p>                     |
| Linkage to Long-Term Outcome or Impact | Partners' [defined as any country receiving U.S. assistance] security forces (including military, paramilitary, gendarmes, maritime security, border security, counterterrorism units, specialty units, etc.) maintain a country's territorial integrity, including self-defense against external threats, securing ungoverned/remote spaces, participate in regional defense, protect borders, provide essential and/or emergency disaster response services, and provide force protection for coalition/U.S. forces. This sub-element directly measures any partnership activity of this element. |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Unit of Measure                        | Index 0-1                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Use of Indicator                       | This indicator will provide an overview of the general strength of a country's security forces ability to partner. It will guide budget decisions and program planning at a summary level at Congress and Bureau level planning. It answers questions, such as: Given other concerns of a region and country, should we provide this country with funding to ensure partnering ability is strengthened? Which developing countries should we consider funding? Which developing countries show the greatest overall weakness in partnering with coalition and US forces?                            |
| Data Source and Reporting Frequency    | In-country USG personnel responsible for security or military activities                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Known Data Limitations                 | Weighting may be necessary to make the interpretation more meaningful. However, this cannot be determined prior to collecting and analyzing the first round of measures.                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Baseline Timeframe                     | Baseline needs to be established, using the first measure.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

### **1.3.7 – Law Enforcement Restructuring, Reform and Operations**

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.7-5 Host nation government functioning score</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Definition                             | <p>The Worldwide Governance Indicators provide a score for each reporting period compared to the last reporting period and broadly measures governance. It reports aggregate and individual governance indicators for 213 economies over the period 1996 forward, for 6 dimensions of governance;</p> <ul style="list-style-type: none"> <li>• voice and accountability,</li> <li>• political stability and absence of violence,</li> <li>• government effectiveness,</li> <li>• regulatory quality,</li> <li>• rule of law,</li> <li>• control of corruption.</li> </ul> |
| Linkage to Long-Term Outcome or Impact | The goal of this element is to assist in establishing and sustaining effective, professional and accountable law enforcement services. Corruption erodes rule of law.                                                                                                                                                                                                                                                                                                                                                                                                     |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Unit of Measure                        | Index (-2.5 most corrupt to +2.5 least corrupt)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Use of Indicator                       | The information generated by this indicator will be used in planning training and program interventions by program officers and implementers.                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Data Source and Reporting Frequency    | Worldwide Governance Indicators (World Bank: <a href="http://info.worldbank.org/governance/wgi/index.asp">http://info.worldbank.org/governance/wgi/index.asp</a> ); annual                                                                                                                                                                                                                                                                                                                                                                                                |
| Known Data Limitations                 | USG attribution is only implied. Corruption is only one aspect of professionalism included in code of ethics/conduct.                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Baseline Timeframe                     | WGI has been published annually since 1996 and is comparable across years.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

|                                        |                                                                                                                                                                                                        |
|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.7-6 Percent of communities in USG-assisted areas implementing principles taught in law enforcement training</b>                                                                                 |
| Definition                             | Number of communities showing evidence of implementing the training divided by the Number of communities under reported                                                                                |
| Linkage to Long-Term Outcome or Impact | The goal of this element is to assist to establish and sustain effective, professional and accountable law enforcement services. This sub-element measures law enforcement implementation of training. |
| Indicator Type                         | Outcome                                                                                                                                                                                                |
| Unit of Measure                        | Percent                                                                                                                                                                                                |
| Use of Indicator                       | This indicator will be used by trainers to assess effectiveness, and by program officers for accountability and future expenditures.                                                                   |
| Data Source and Reporting Frequency    | Implementing partners; annual or program end                                                                                                                                                           |
| Known Data Limitations                 | Implementing skills mastered in training does not ensure the needs of the community are met.                                                                                                           |
| Baseline Timeframe                     | Baseline to be established                                                                                                                                                                             |
| Disaggregate(s)                        | Numerator, Denominator                                                                                                                                                                                 |

|                                        |                                                                                                                                        |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.7-7 Number of individuals recruited and trained as Natural Resources law enforcement officers</b>                               |
| Definition                             | Many of the places where eco-guards are needed and secured are in border areas where there's cross-border conflict.                    |
| Linkage to Long-Term Outcome or Impact | The goal is to increase law enforcement in border areas while protecting the natural resources of fragile countries.                   |
| Indicator Type                         | Output                                                                                                                                 |
| Unit of Measure                        | Number                                                                                                                                 |
| Use of Indicator                       | The information generated by this indicator will be used by program officers and implementers as one step toward securing the borders. |
| Data Source and Reporting Frequency    | Advisors or law enforcement liaisons to host nations will report annually.                                                             |
| Known Data Limitations                 | Hiring eco-guards does not necessarily protect borders.                                                                                |
| Baseline Timeframe                     | Baseline needs to be established during first year of count.                                                                           |
| Responsibility                         | Cindy J. Smith; <a href="mailto:smithcj1@state.gov">smithcj1@state.gov</a>                                                             |
| Disaggregate(s)                        | Sex                                                                                                                                    |

|                                        |                                                                                                                                                                         |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.7-8 Percentage of new recruits to national militaries who are women.</b>                                                                                         |
| Definition                             | Number of new military recruits who are women divided by total number of military recruits                                                                              |
| Linkage to Long-Term Outcome or Impact | The goal is to increase the number of women who are included in the military, thus assisting in equalizing their status.                                                |
| Indicator Type                         | Outcome                                                                                                                                                                 |
| Unit of Measure                        | Percent                                                                                                                                                                 |
| Use of Indicator                       | The information generated by this indicator will be used in recruiting and program interventions by program officers and implementers to ensure women are incorporated. |
| Data Source and Reporting Frequency    | Advisors or military liaisons to host nations will report annually.                                                                                                     |
| Known Data Limitations                 | Involving women in counts does not necessarily mean they are participating as equals.                                                                                   |
| Baseline Timeframe                     | Baseline needs to be established during first year of count.                                                                                                            |
| Responsibility                         | Cindy J. Smith; <a href="mailto:smithcj1@state.gov">smithcj1@state.gov</a>                                                                                              |
| Disaggregate(s)                        | Numerator, Denominator                                                                                                                                                  |

|                                        |                                                                                                                                                                         |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.3.7-9 Percentage of new recruits to national police forces who are women.</b>                                                                                      |
| Definition                             | Number of new police force recruits who are women divided by total number of police force recruits                                                                      |
| Linkage to Long-Term Outcome or Impact | The goal is to increase the number of women who are included in the national police force, thus assisting in equalizing their status.                                   |
| Indicator Type                         | Outcome                                                                                                                                                                 |
| Unit of Measure                        | Percent                                                                                                                                                                 |
| Use of Indicator                       | The information generated by this indicator will be used in recruiting and program interventions by program officers and implementers to ensure women are incorporated. |
| Data Source and Reporting Frequency    | Advisors or police force liaisons to host nations will report annually.                                                                                                 |
| Known Data Limitations                 | Involving women in counts does not necessarily mean they are participating as equals.                                                                                   |
| Baseline Timeframe                     | Baseline needs to be established during first year of count.                                                                                                            |
| Responsibility                         | Cindy J. Smith; <a href="mailto:smithcj1@state.gov">smithcj1@state.gov</a>                                                                                              |
| Disaggregate(s)                        | Numerator, Denominator                                                                                                                                                  |



|                                        |                                                                                                                                                                               |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator 21B                          | <b>1.3.7-10 Percentage of USG-funded police advisors deployed to host nations who are women</b>                                                                               |
| Definition                             | Number of new USG-funded police advisors who are women divided by total number of USG-funded police advisors                                                                  |
| Linkage to Long-Term Outcome or Impact | The goal is to increase the number of women who are included in USG-funded police advisor positions, thus assisting in role-modeling the behavior expected of other countries |
| Indicator Type                         | Outcome                                                                                                                                                                       |
| Unit of Measure                        | Percent                                                                                                                                                                       |
| Use of Indicator                       | The information generated by this indicator will be used in recruiting and program interventions by program officers and implementers to ensure women are incorporated.       |
| Data Source and Reporting Frequency    | Offices responsible for deploying advisors to host nations will report annually.                                                                                              |
| Known Data Limitations                 | Involving women in counts does not necessarily mean they are participating as equals.                                                                                         |
| Baseline Timeframe                     | Baseline needs to be established during first year of count.                                                                                                                  |
| Responsibility                         | Cindy J. Smith; <a href="mailto:smithcj1@state.gov">smithcj1@state.gov</a>                                                                                                    |
| Disaggregate(s)                        | Numerator, Denominator                                                                                                                                                        |

## **1.4 – Counternarcotics**

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.4-5 Percent of counternarcotics projects with nationalization milestones in bilateral agreements</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Definition                             | <p>The percentage is calculated by dividing the numerator by the denominator where:</p> <p>Numerator = the total Number of CN projects with negotiated nationalization milestones</p> <p>Denominator = r all CN Projects</p> <p>CN projects that count towards this indicator are those identified in the pertinent Bilateral Letters of Agreement (e.g. LOAs, MOUs, Protocols or other bilateral documents) signed with the Host Government.</p>                                                                                                                                                                         |
| Linkage to Long-Term Outcome or Impact | <p>Linked to Outcome Measure: Percent of Counternarcotics Capabilities successfully transferred to Host Nation</p> <p>Helps ensure that programmatic planning and bilateral agreements address a primary goal of foreign assistance; eventual host nation ownership, sustainable maintenance and further development of the program/project.</p>                                                                                                                                                                                                                                                                          |
| Indicator Type                         | Intermediate outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Unit of Measure                        | Percentage                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Use of Indicator                       | <p>Primary program milestone planning, mid-course amendments, budget projections/requests, as well as reporting and accountability for sustainability/nationalization.</p> <p>Users: Embassy Planners; Bureau Leadership, DOS Leadership, White House OMB/ONDCP and the U.S. Congress</p>                                                                                                                                                                                                                                                                                                                                 |
| Data Source and Reporting Frequency    | <p>Original data will be generated by direct reporting of Department of State observation/certification.</p> <p>Data would be reported against a programmatic cycle/milestone which in the main will be aggregated on a fiscal year cycle, as that is the funding sequence for the various programs which may have a metric requiring nationalization. Data will be collected, compiled and registered by Department of State INL/RM</p>                                                                                                                                                                                  |
| Known Data Limitations                 | <p><b>Validity</b> – Directly addresses one of the major components of for planning objectives of transferring sustainable foreign assistance efforts to the host nation.</p> <p><b>Integrity</b> – integrity is excellent because the original documents themselves are generally available publicly and easily inspected to ascertain accurateness of data reported.</p> <p><b>Precision</b> – as above</p> <p><b>Reliability</b> – Data generally will be as reliable as the ability to monitor the proposed documents as they traverse the Circular 175 process...</p> <p><b>Timeliness</b> – Aggregated annually</p> |
| Baseline Timeframe                     | A baseline needs to be established by each Operating Unit. Currently, Colombia, Guatemala, and Bolivia have agreements with clear nationalization criteria, timelines, and sustainability guarantees for some, but not all, projects authorized by the bilateral agreements.                                                                                                                                                                                                                                                                                                                                              |
| Disaggregate(s)                        | Numerator, Denominator                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |

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|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.4-6 Percent of counternarcotics capabilities successfully transferred to Host Nation</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Definition                             | <p>Measures the successful nationalization of counternarcotics (CN) assistance to the host government. Percentage is calculated by dividing the numerator by the denominator where:</p> <p>Numerator = the number of nationalization milestones achieved and transferred to host government<br/> Denominator = the total number of negotiated nationalization milestones (denominator).</p>                                                                                                                                                                                                                                                           |
| Linkage to Long-Term Outcome or Impact | Addresses a primary goal for CN foreign assistance which is to have the host nation achieve the full/reliable capacity, ownership, sustainable maintenance and growth , the program/project is transferred to the host nation.                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Indicator Type                         | High-level outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Unit of Measure                        | Percentage                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Use of Indicator                       | <p>Program milestone planning, mid-course adjustments, budget decisions/requests, as well as reporting and accountability of pipeline funds.</p> <p>Users: Embassy Planners; Bureau Leadership, DOS Leadership, Whitehouse OMB/ONDCP and the U.S. Congress</p>                                                                                                                                                                                                                                                                                                                                                                                        |
| Data Source and Reporting Frequency    | <p>Data will be generated by direct reporting of Embassies and direct Department of State observation/certification as well as by the host nations themselves.</p> <p>Original data would be reported against a programmatic cycle/milestone which in the main will be aggregated on a fiscal year cycle, as that is the funding sequence for the various programs which may have a metric requiring nationalization.</p> <p>Data will be collected, collated and catalogued by Department of State INL</p>                                                                                                                                           |
| Known Data Limitations                 | <p><b>Validity</b> – Directly addresses one of the major components of the objectives of sustainability with respect to foreign assistance efforts.</p> <p><b>Integrity</b> – It will be quite clear which projects have been transferred, but may require follow-on monitoring to ascertain the ability of the host nation to sustain the objectives of the effort.</p> <p><b>Precision</b> – as above</p> <p><b>Reliability</b> – Data generally will be as reliable as the ability of USG to monitor the achievement of nationalization...</p> <p><b>Timeliness</b> – Aggregated annually, but milestones should be observable upon the event.</p> |
| Baseline Timeframe                     | A baseline needs to be established by USG counternarcotics assistance implementers.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Disaggregate(s)                        | Numerator, Denominator                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.4-7 Percent of political districts provinces that are not a major source of narcotics cultivation</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Definition                             | <p>This measure will show annual state/province/departmental progress towards meeting the overarching goal of getting a nation off of the major's list and, more critically, identifies problem regions towards which focused USG assistance can be targeted.</p> <p>Calculation:<br/> Numerator = # of provinces free or essentially free of illicit crops<br/> Denominator = total # of provinces</p> <p>Political district is defined as the government division of the country into provinces, prefectures, states, districts.</p> <p>The Eight countries considered major illicit drug producing countries currently are: Afghanistan, Pakistan, Laos, Mexico, Myanmar, Colombia, Peru, Bolivia. Source: 2011 International Narcotics Control Strategy Report (INCSR) <a href="http://www.state.gov/p/inl/rls/nrcrpt/2011/vol1/156356.htm">http://www.state.gov/p/inl/rls/nrcrpt/2011/vol1/156356.htm</a></p> <p>At present, of the major illicit drug producing countries, this indicator can be used for Afghanistan, Bolivia, Colombia, Laos, Myanmar, and Peru, because UNODC does annual comprehensive reports on them. UNODC does not do comprehensive reports on Mexico and Pakistan. INL has counternarcotics programs in all countries listed here except Myanmar.</p> <p>UNODC also produces reports for Ecuador and Morocco, although these countries are not considered major drug producing countries).</p> <p>Section 481(e)(2) of the Foreign Assistance Act of 1961 (as amended), defines a major illicit drug producing country as one in which:</p> <ul style="list-style-type: none"> <li>• 1,000 hectares or more of illicit opium poppy is cultivated or harvested during a year;</li> <li>• 1,000 hectares or more of illicit coca is cultivated or harvested during a year; or</li> <li>• 5,000 hectares or more of illicit cannabis is cultivated or harvested during a year, unless the President determines that such illicit cannabis production does not significantly affect the United States. FAA § 481(e)(2).</li> </ul> |
| Linkage to Long-Term Outcome or Impact | Linked to Outcome Measure: Potential Production of Illicit Narcotics.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Unit of Measure                        | Percentage                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Use of Indicator                       | <p>Program milestone tracking, mid-course monitoring, secondary budget decisions/requests, as well as reporting and accountability of CN results.</p> <p>In the case of Afghanistan this indicator has been used as the primary criteria for the awarding of funds to poppy free political districts to undertake development projects. In Afghanistan it is known as "Poppy-free Province"</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

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|-------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                     | Users: Embassy Planners; Bureau Leadership, DOS Leadership, White House OMB/ONDCP and the U.S. Congress                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Data Source and Reporting Frequency | <p>UNODC's country cultivation, verification and assessment surveys.</p> <p>The survey methodology used is based on a sampling approach that combined the use of satellite imagery and extensive field visits.</p> <p>The UNODC conducts these country surveys annually on a calendar basis. The reports are published from 6 to 9 months the year after.</p> <p><a href="http://www.unodc.org/unodc/en/crop-monitoring/index.html?year=2010">http://www.unodc.org/unodc/en/crop-monitoring/index.html?year=2010</a></p> <p>The UNODC currently conducts studies on 8 countries: Afghanistan, Bolivia, Colombia, Ecuador, Laos, Morocco, Myanmar , and Peru.</p> <p>90 percent of INL counternarcotics program funding in fiscal year 2010 supported efforts in five countries: Afghanistan (\$281 million), Mexico (\$ 249 million), Colombia (\$200 ), Peru (\$ 40,) Bolivia (\$20 million). Activities in all other countries were \$ 82 million.</p> <p>The UNODC conduct surveys on 4 of these countries: Afghanistan, Bolivia, Colombia, and Peru. The only one it does not is Mexico. Mexico is also different from these other countries in that the narcotics problem in the first four is primarily production whereas in Mexico it is both production and transit.</p> |
| Known Data Limitations              | <p><b>Validity</b> – The data tracks how wide spread geographically narcotics production is and whether progress is being made to reduce it.</p> <p><b>Integrity</b> – As these data are collected, analyzed, and reported by the UNODC it greatly reduces the possibility that they will be intentionally manipulated for political or personal reasons</p> <p><b>Precision</b> – The data is collected at such a level of detail that a clear understanding of the situation can be reached and decisions made.</p> <p><b>Reliability</b> – The methodology, which has already been established and used has proven to be reliable in obtaining consistent data.</p> <p><b>Timeliness</b> – The data is collected annually with a six to eight month delay. This is sufficiently timely for decision making to take place.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Baseline Timeframe                  | 2002 for Afghanistan; 2002 for Bolivia; 2004 for Colombia;2007 for Peru<br>A baseline for Mexico needs to be established.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Disaggregate(s)                     | Disaggregated by type of illicit crop (Opium Poppy, Coca, and Cannabis) as required by the Foreign Assistance Act and required for INL reporting to Congress. If not disaggregated, the data is largely meaningless because of the perceived and actual difference in value of hectares of coca under cultivation versus hectares of cannabis under cultivation; Numerator, Denominator                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

### **1.4.1 - Eradication**

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|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.4.1-2 Average amount of illicit narcotics and precursor chemicals seized by USG assisted units</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Definition                             | <p>Measures average amount of specific illicit narcotics and precursor chemicals seized by USG assisted units. Calculate the average by dividing the numerator by the denominator where:</p> <p>Numerator = the amount of an illicit narcotic seized (expressed in kilos)<br/> Denominator = the number of confirmed law enforcement actions by host government resulting in seizures.</p>                                                                                                                                                                                                                                                           |
| Linkage to Long-Term Outcome or Impact | Support the drug control efforts of major drug source and transit countries by strengthening the capacity of international partners to disrupt the drug trade                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Unit of Measure                        | Kilos                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Use of Indicator                       | <p>Program milestone planning, mid-course budgeting and programmatic adjustments, long-range budget decisions/requests, as well as reporting and accountability on USG national level indicators.</p> <p>Users: Embassy Planners; Bureau Leadership, DOS Leadership, White House OMB/ONDCP and the U.S. Congress</p>                                                                                                                                                                                                                                                                                                                                 |
| Data Source and Reporting Frequency    | <p>Data will come from official law-enforcement records, as used in the INCSR, an official USG annual report.</p> <p>Additional corroboration may come from direct observation, but the primary source will be official USG data referred to in mandatory reports such as the INCSR.</p>                                                                                                                                                                                                                                                                                                                                                             |
| Known Data Limitations                 | <p><b>Validity</b> – Directly tracks the illicit substances identified.</p> <p><b>Integrity</b> – By and large data will come from official law-enforcement records that portend evidence worthy for admission into a court of law, as used in the INCSR an official USG annual report</p> <p><b>Precision</b> – as above</p> <p><b>Reliability</b> – Data generally will be as reliable as the competency of USG assisted units and will reflect on same.</p> <p><b>Timeliness</b> – Aggregated annually, but incremental data should be available relatively speedily (90-days to six-months in most cases) for major programmatic management.</p> |
| Baseline Timeframe                     | <p>Baseline needs to be established by the Operating Unit by monitoring the actual amount of illicit narcotics and precursor chemicals seized by USG assisted units and annualizing.</p> <p>The INCSR has been produced since 1987</p>                                                                                                                                                                                                                                                                                                                                                                                                               |
| Disaggregate(s)                        | Disaggregated by illicit narcotic and chemical; Numerator, Denominator                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |



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|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.4.1-3 Sales, in kilos, of licit farm and non-farm products sold by individuals directly receiving products in USG funded assistance area</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Definition                             | Measures the volume (kilos) of licit farm- and non-farm products in areas supported by USG alternative development or alternative livelihood programs. Sales (or gross market value of licit production) supported by USG.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Linkage to Long-Term Outcome or Impact | <p>Success of drug control can not only be measured in terms of reduction in the hectares under drug crop cultivation, but there is also a need to assess the qualitative nature of any change in livelihoods and production.</p> <p>When sales from licit activities are increasing over time, there is a strong probability that incomes and employment are also going up and that people in drug production areas are devoting their time, energy and resources to licit activities instead of illicit activities</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Units of Measure                       | Kilos                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Use of Indicator                       | <p>Primary program milestone planning, mid-course amendments, budget projections/requests for eradication programs and possibly interdiction efforts, as well as reporting and accountability for sustainability/nationalization.</p> <p>Users: Embassy Planners; Bureau Leadership, DOS Leadership, White House OMB/ONDCP and the U.S. Congress</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Data Source and Reporting Frequency    | Bureau data gleaned from contractor/grantee quarterly reports and interviews with project implementers                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Known Data Limitations                 | <p>This indicator has been used previously, including in Afghanistan.</p> <p>In a July 2010 Government Accountability Office Report on Afghanistan Development: Enhancements to Performance Management and Evaluation Efforts Could Improve USAID's Agricultural Programs, USAID noted that the overall quality of the data with regard to this indicator was low. While recognizing the security situation in Afghanistan made this difficult the GAO made some recommendations to improve it.</p> <p><b>Validity</b> – There is a logical correlation between an increase in sales from licit activities and a decrease in of illicit activities, but this needs to be collaborated by host government officials and experts.</p> <p><b>Integrity</b> – The data is generally provided by implementing partners and so needs to be spot checked</p> <p><b>Precision</b> – In order to improve monitoring more staff need to be placed in the field. USAID/Kabul has subsequently increased its monitoring and evaluation personnel</p> <p><b>Reliability</b> – The methodology for tracking sales of farm products and non-farm products is well established.</p> <p><b>Timeliness</b> – This has been and can be aggregated annually.</p> |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit. There have been alternative development programs in Several key countries where USAID and INL work: Afghanistan, Bolivia, Colombia and Peru.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

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| Disaggregate(s) |  |
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| Indicator                              | <b>1.4.1-4 Hectares of crops under cultivation that could be potentially converted to illicit narcotics.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Definition                             | <p>Measures (in hectares) crops under cultivation that could potentially be converted into illicit narcotics (cannabis, cocaine, and heroin) in major drug source countries, as measured by the UN Office on Drugs and Crime and/or the U.S. government. The list of countries considered a major illicit drug producing country are Afghanistan, Burma, Pakistan, Laos, Mexico Colombia, Peru, Bolivia.</p> <p>Section 481(e)(2) of the Foreign Assistance Act of 1961 (as amended), defines a major illicit drug producing country is one in which:</p> <ul style="list-style-type: none"> <li>• 1,000 hectares or more of illicit opium poppy is cultivated or harvested during a year;</li> <li>• 1,000 hectares or more of illicit coca is cultivated or harvested during a year;</li> <li>• 5,000 hectares or more of illicit cannabis is cultivated or harvested during a year, unless the President determines that such illicit cannabis production does not significantly affect the United States. FAA § 481(e)(2).</li> </ul> <p>Data will be collected, compiled and registered by Department of State INL/RM.</p> |
| Linkage to Long-Term Outcome or Impact | Helps ensure that programmatic planning and bilateral agreements are formulated in accordance with ascertainable need/risk and helps direct efforts to support the Drug Control Efforts of Major Drug Source Countries by ensuring proper focus on strengthening the capacity of International partners to disrupt the drug trade                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Unit of Measure                        | Hectares (1 HT = 10000 Sq. meters)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Use of Indicator                       | <p>Supports the National Drug Control Strategy to assist host government efforts to control the supply of drugs leaving drug producing countries. Indicator is used in primary program milestone planning, program budget requests, and mid-course corrections, for implementing both eradication and source country interdiction efforts. This also serves as the primary outcome measure for measuring the success of a host government's counternarcotics efforts.</p> <p>Users: Embassy and Bureau Planners; Bureau Leadership, DOS Leadership, White House OMB/ONDCP and the U.S. Congress</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

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| Data Source and Reporting Frequency | <p>Data will be gleaned from analysis of UNODC and other international sources and, in some cases, corroborated by Department of State and USG observation/certification.</p> <p>Data would be reported against a programmatic cycle/milestone which in the main will be aggregated on the United Nations reporting cycle.</p> <p>UNODC World Drug Report <a href="http://www.unodc.org/unodc/en/data-and-analysis/WDR-2011.html">http://www.unodc.org/unodc/en/data-and-analysis/WDR-2011.html</a></p> <p>Data will be collected, compiled and registered by Department of State INL/RM</p>                                                                                                          |
| Known Data Limitations              | <p><b>Validity</b> – Indirectly addresses one of the major planning components of planning eradication and associated objectives.</p> <p><b>Integrity</b> – integrity is excellent because the documents themselves are generally available publicly and easily inspected to ascertain accurateness of data reported.</p> <p><b>Precision</b> – Usually operate in a numerical range, rather than supplying a precise number.</p> <p><b>Reliability</b> – Data generally will be reliable and is assumed to be authoritative</p> <p><b>Timeliness</b> – Often aggregated annually, but may be less often, creating a built in lag -- depending on priority of reporting cycle for some countries.</p> |
| Baseline Timeframe                  | <p>In most cases, baselines for key illicit production countries exist; however, may need exclusive baselines or the computation of representative proxies.</p> <p>UNODC has been issuing its annual World Drug Report since 1999.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Disaggregate(s)                     | <p>Disaggregated by type of illicit narcotic (Cocaine, Heroin, and Marijuana) as required by the Foreign Assistance Act and required for INL reporting to Congress. If not disaggregated, the data is largely meaningless because of the perceived and actual difference in value of a metric ton of cocaine or heroin and a metric ton of marijuana.</p>                                                                                                                                                                                                                                                                                                                                             |

## 1.4.3 - Interdiction

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| Indicator                              | <b>1.4.3-3 Percentage of days per month that selected interdiction vessels are available for operations</b>                                                                                                                                                                                                       |
| Definition                             | <p>“Selected interdiction vessels” are ships dedicated to apprehend unauthorized vessels carrying contraband.</p> <p>Percentage is calculated by dividing the numerator by the denominator where the Numerator = the number of days the vessel was available<br/>Denominator = the number of days in a month.</p> |
| Linkage to Long-Term Outcome or Impact | Support the Drug Control Efforts of Major Drug Source and Transit Countries by Strengthening the Capacity of International Partners to Disrupt the Drug Trade                                                                                                                                                     |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                            |
| Unit of Measure                        | Percentage.                                                                                                                                                                                                                                                                                                       |
| Use of Indicator                       | Information will be used for planning, program adjustments, budget decisions, strict reporting, and accountability of funds spent and it will be                                                                                                                                                                  |

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|                                     | used by INL Bureau Leadership, State Department Senior Leadership, White House ONDCP, White House OMB, and Congress                                                                    |
| Data Source and Reporting Frequency | Original data is United States military reporting. Monthly.                                                                                                                            |
| Known Data Limitations              | Under bilateral agreements, USG will need to collect the data from partner country sources. Reliability of the data and willingness to share the data are yet to be determined/tested. |
| Baseline Timeframe                  | Baseline needs to be established                                                                                                                                                       |
| Disaggregate(s)                     | Numerator, Denominator                                                                                                                                                                 |

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| Indicator  | <b>1.4.3-4 The number of people in a host country who received USG-funded counternarcotics training</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Definition | <p>This indicator tracks the number of people in a host country that received USG-funded counternarcotics training.</p> <p>Trainees include government employees, especially members of the law enforcement community, members of the medical profession, social service providers, academics and others.</p> <p>A training must be designed to build capacity and must have specific learning objectives - expected knowledge, skills and/or competencies to be gained by participants. Trainings of any length with this purpose should be counted.</p> <p>An individual trainee, even if s/he is trained in more than one area or instance of training that year, should be counted only once.</p> |

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|                                        | If a training course is conducted over more than one session, only individuals who complete the full course should be counted.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Linkage to Long-Term Outcome or Impact | Numerically tracks a discrete and often questioned number that offers some indication of the width, breadth and efficiency of the international assistance effort.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Use of Indicator                       | <p>Program milestone tracking, mid-course monitoring, budget decisions/requests, as well as reporting and accountability of CN training number projections.</p> <p>Users: Embassy Planners; Bureau Leadership, DOS Leadership, White House OMB/ONDCP and the U.S. Congress</p>                                                                                                                                                                                                                                                                                                                                                                                     |
| Data Source and Reporting Frequency    | <p>Data will be generated by direct reporting of Embassies, direct Department of State monitors/observers, USG agencies providing assistance and their implementing partners, as well as the host nations themselves in some cases.</p> <p>Data would be reported against a programmatic cycle/milestone which in the main will be aggregated on a fiscal year cycle, as that is the funding sequence for the various programs which may have a metric requiring nationalization.</p> <p>Data will be collected, collated and catalogued by Department of State INL and other USG agencies</p>                                                                     |
| Known Data Limitations                 | <p><b>Validity</b> – Addresses a basic output objective required looking forward to building a cadre of skilled practitioners capable of accepting transference to the host nation.</p> <p><b>Integrity</b> – integrity is excellent because the data on the training programs would generally be available and student lists easily inspected to ascertain quality of data reported.</p> <p><b>Precision</b> – as above</p> <p><b>Reliability</b> – Data generally will be as reliable as the ability to monitor the proposed implementer activities as verified by direct observations and report monitoring.</p> <p><b>Timeliness</b> – Aggregated annually</p> |
| Baseline Timeframe                     | A baseline needs to be established by joint WHA/Mil collaboration.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Disaggregate(s)                        | Sex                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

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| Indicator                              | <b>1.4.3-5 Percent of USG-provided equipment that is operational for project related activities (EUM)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Definition                             | <p>The indicator is a percentage.</p> <p>Numerator = the number of equipment listed as operational (not destroyed or under repair) and still used for their intended purpose (as defined in the bilateral agreements with the host government).</p> <p>Denominator = the total number of commodities donated.</p> <p>INL currently reports the status of the following commodities in the Annual End Use Monitoring report to Congress: Aircraft, Canines, Communications Equipment, Computer Equipment, Field Gear, Forensic Equipment, Laboratory Equipment, Vehicles, Vessels, Weapons and Miscellaneous equipment, etc.</p>                                                                                                     |
| Linkage to Long-Term Outcome or Impact | Percent of USG-provided equipment operational for mission-related actions (EUM), feeds the sustainability and nationalization components because this looks directly at how the host nation is utilizing, or not using, the equipment provided by USG.                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Unit of Measure                        | The unit of measure is will be a percentage.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Use of Indicator                       | <p>Information is used for program planning, adjustments, and budget decisions and serves as a proxy for the absorptive capacity of host government law enforcement institutions.</p> <p>Information will be used by: Embassy, INL Bureau Leadership, State Department Leadership, White House OMB, ONDCP, Congress</p>                                                                                                                                                                                                                                                                                                                                                                                                             |
| Data Source and Reporting Frequency    | <p>INL project managers and embassy property officials review Project/Programs quarterly:</p> <ul style="list-style-type: none"> <li>• On-site Inspections</li> <li>• Discussions with host government officials</li> <li>• Comparison of Records</li> <li>• Review of electronic data records (ILMS)</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Known Data Limitations                 | <ul style="list-style-type: none"> <li>• Security issues in visiting off site locations.</li> <li>• Validity will be affected by sample size.</li> <li>• Integrity of reports by host government officials indicating actual use of donated equipment.</li> <li>• Precision will be based on Embassy reporting through ILMS.</li> <li>• Reliability will be dependent on availability of staff to conduct off-site interviews and observations as well as ability to differentiate expendable from non-expendable material.</li> <li>• Timelines – Data will be gathered throughout the course of one year and a report submitted in entirety by January 31<sup>st</sup> of the following year of information gathering.</li> </ul> |
| Baseline Timeframe                     | January 1 – December 31 (calendar year)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Disaggregate(s)                        | Numerator, Denominator                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |



#### **1.4.4 – Demand Reduction**

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| Indicator                              | <b>1.4.4-8 Recidivism by addicts who have completed drug prevention and demand reduction programs</b>                                                                                                                                                                                                                                             |
| Definition                             | Impact evaluation of the effectiveness of drug prevention and demand reduction activities in treating addicts.                                                                                                                                                                                                                                    |
| Linkage to Long-Term Outcome or Impact | Support the drug control efforts of major drug source and transit countries by strengthening the capacity of international partners to disrupt the drug trade                                                                                                                                                                                     |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                           |
| Unit of Measure                        | Whether addicts who have completed drug prevention and demand reduction programs begin to use drugs again.                                                                                                                                                                                                                                        |
| Use of Indicator                       | Information will be used for planning, program adjustments, budget decisions, strict reporting, and accountability of funds spent and it will be used by INL Bureau Leadership, State Department Senior Leadership, White House ONDCP, White House OMB, and Congress                                                                              |
| Data Source and Reporting Frequency    | Evaluations conducted bi-annually on projects, by independent evaluators<br><br>It would however, also be desirable if possible to have implementers report quarterly and then totaled annually – as well to have sample surveys as dictated by size and scope of the demand reduction effort.                                                    |
| Known Data Limitations                 | Determinates are problematic and will require Foreign Assistance funding for surveys to properly ascertain the actual percentage attributable to indicator.                                                                                                                                                                                       |
| Baseline Timeframe                     | Baseline established for Colombia, Peru, Vietnam, and Thailand.<br><br>Evaluation still needs to be conducted in other countries with demand reduction programs. At its most basic an evaluation will include analyzed data and specific, concise and supported evidence not based on anecdotes, hearsay or the compilation of people's opinions. |
| Disaggregate(s)                        | Sex                                                                                                                                                                                                                                                                                                                                               |

## **1.5 – Transnational Crime**

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| Indicator                              | <b>1.5-6 Country rating on change in activities to successfully combat transnational crime, as measured by a reference scale</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Definition                             | <p>This indicator captures a country's change in activities undertaken, according to the reference scale below, to combat transnational crime as evidenced by internationally recognized reports that are published annually. Examples of such reports are the USG Financial Action Task Force Annual Report, the U.S. Trade Representative's Special 301 Report, and the Office to Monitor and Combat Trafficking in Persons (G/TIP) Trafficking in Persons Report. Reports suitable for assessing this change include verifiable data sources and employ a standardized assessment framework.</p> <p><u>Reference Scale:</u></p> <ul style="list-style-type: none"> <li>• 3 = Increase in a government's activities undertaken to combat transnational crime</li> <li>• 2 = Decrease in a government's activities undertaken to combat transnational crime</li> <li>• 1 = No change in a government's activities undertaken to successfully combat transnational crime</li> </ul> <p>The change or lack of change in government activities undertaken should be assessed by the operating unit reporting on the indicator.</p> <p>Undertaken means that an activity has been initiated by the government.</p> |
| Linkage to Long-Term Outcome or Impact | The long-term desired goal is for increased activities undertaken by foreign governments to combat transnational crime. This indicator measures foreign government's efforts to combat transnational crime.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Unit of Measure                        | Reference scale                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Data Source and Reporting Frequency    | <p>Data Sources: Reports suitable for assessing this change are internationally recognized, include verifiable data sources, and employ a standardized assessment framework. Examples of such reports are the USG Financial Action Task Force Annual Report, the U.S. Trade Representative's Special 301 Report, and the Office to Monitor and Combat Trafficking in Persons (G/TIP) Trafficking in Persons Report.</p> <p>Frequency of Data Acquisition: Annually</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Known Data Limitations                 | It's possible that not all countries will have been evaluated in a suitable report for all aspects of transnational crime.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Baseline Timeframe                     | Baseline for this indicator is the data from the previous year, as reported in the annual reports.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

## **1.5.1 – Financial Crimes and Money Laundering**

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| Indicator  | <b>1.5.1-4 Country rating on level of commitment to address money laundering and financial crimes</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Definition | <p>This indicator measures whether or not the Financial Action Task Force (FATF) or its subsidiary FATF-style Regional Bodies (FSRBs) has conducted an evaluation of the country's financial institutions, if the country is on the list of "high-risk and non-cooperative jurisdictions," and if so whether or not the country has committed to an action plan to address its money laundering and financial crimes deficiencies. The FATF evaluates country financial institutions and regulatory structures against the 40 Recommendations on Money Laundering and the 9 special recommendations on terrorist financing.</p> <p>The 40+9 recommendations provide a complete set of counter-measures against money laundering (ML) covering the criminal justice system and law enforcement, the financial system and its regulation, and international co-operation. They have been recognized, endorsed, or adopted by many international bodies. They set out the principles for action and allow countries a measure of flexibility in implementing these principles according to their particular circumstances and constitutional frameworks.</p> <p>High-Risk and Non-Cooperative Jurisdictions are countries identified by the FATF as high-risk and non-cooperative in the global fight against money laundering. Currently, there are 31 jurisdictions (nations and other independent political units) that are on the list of "high-risk and non-cooperative jurisdictions." Jurisdictions that have not made sufficient progress in addressing deficiencies and have not committed to an action plan to address the deficiencies are in one category. There are 6 of these countries. Jurisdictions that have not made sufficient progress in addressing deficiencies but have committed to an action plan to address the deficiencies are in another category. There are 22 countries. When a country is evaluated and not deemed or removed from the list of "high-risk and non-cooperative jurisdictions," it is deemed to have enough institutional capacity to successfully address money laundering and financial crimes. All political jurisdictions have not yet been evaluated.</p> <p>A reference scale will be used in determining whether or not a country has the institutional capacity or commitment to address money laundering and financial crimes:</p> <p>3 = A FATF-based evaluation of the country has been conducted and country was not listed or has been removed from the list of "high risk and non-cooperative jurisdictions."</p> <p>2 = A FATF-based evaluation of the country has been conducted and the country is on the list of "high risk and non-cooperative jurisdictions." But while the country has not made sufficient progress in addressing deficiencies it has committed to an action plan to address them.</p> <p>1 = A FATF-based evaluation of the country has been conducted and the country is on the list of "high risk and non-cooperative jurisdictions." The country has not made sufficient progress in addressing deficiencies nor has it committed to an action plan to address them.</p> <p>N/A = A FATF-based evaluation of the country has not been conducted.</p> |

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| Linkage to Long-Term Outcome or Impact | Improved government response to combating financial crime and money laundering.                                                                                                                                                                                                                                                                                                                                               |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Unit of Measure                        | Reference Scale                                                                                                                                                                                                                                                                                                                                                                                                               |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use data generated by this indicator for purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress. State/INL will use information to prepare the Congressionally mandated International Narcotics Control and Strategy Report (INCSR) and plan regional programs to support FATF and FSRB efforts. |
| Data Source and Reporting Frequency    | <p>Data Sources:<br/> FATF' Annual Report and Report on Non-Cooperative Countries and Territories (<a href="http://www.fatf-gafi.org/document/28/0,3746,en_32250379_32236920_33658140_1_1_1_1,00.html">http://www.fatf-gafi.org/document/28/0,3746,en_32250379_32236920_33658140_1_1_1_1,00.html</a>)</p> <p>Frequency of Data Acquisition: Annually</p>                                                                      |
| Known Data Limitations                 | Not all countries or jurisdictions have been evaluated.                                                                                                                                                                                                                                                                                                                                                                       |
| Baseline Timeframe                     | Baseline data for this data is the FATF' Annual Report and Report on Non-Cooperative Countries and Territories from the previous year. Initially developed in 1990, the recommendations were revised for the first time in 1996 to take into account changes in money laundering trends and to anticipate potential future threats.                                                                                           |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                           |

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| Indicator                              | <b>1.5.1-1 The existence of Financial Intelligence Unit (FIU) in host country</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Definition                             | <p>This indicator captures whether a Financial Intelligence Unit (FIU) exists in the host country.</p> <p>A Financial Intelligence Unit, as defined by the Egmont Group, the informal association of FIUs, is a central, national agency responsible for receiving, analyzing, and disseminating to the competent authorities, disclosures of financial information concerning:</p> <ul style="list-style-type: none"> <li>• suspected process of crime and potential financing of terrorism</li> <li>• required by national legislation or regulation in order to combat money laundering and terrorism financing.</li> </ul> <p>A FIU <u>exists</u> if it is recognized by the Egmont Group as meeting its definition.</p> <p>According to the Egmont Group, the informal international association of FIUs, 101 countries are currently recognized as having operational FIUs, with others in various stages of development. The FATF 40+9 Recommendations call for countries to operate FIUs that meet the Egmont Group's definition. Members of the FATF and of FATF-style regional bodies (FSRBs) are strongly committed to the discipline of multilateral peer review. The mutual evaluation program is the primary instrument by which the FATF and FSRBs monitor progress made by member governments in implementing the FATF recommendations.</p> |
| Linkage to Long-Term Outcome or Impact | Improved government response to combating financial crime and money laundering. Establishing an FIU should result in a country making quantifiable progress against the 40+9 recommendations to be removed from the list of "high-risk and non-cooperative" jurisdictions.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Unit of Measure                        | Number, 1=Yes; 0=No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress. State/INL will use information to prepare the Congressionally mandated International Narcotics Control and Strategy Report (INCSR).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Data Source and Reporting Frequency    | <p>Data Sources: U.S. embassy records and reporting.</p> <p>The INCSR report provides a snapshot of the AML/CFT legal infrastructure of each country or jurisdiction and its capacity to share information and cooperate in international investigations.</p> <p>The INCSR report comes about as a result of a questionnaire, a comparative table, and glossary of terms sent to officers at post that they use on annual basis, which contain only minor changes from year to year.</p> <p>On the comparative table the INCSR report has a question on a Yes or No basis whether the country has a FIU.</p> <p>The money laundering section of the INCSR has been produced since 1987.</p> <p>Frequency of Data Acquisition: Annually</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |



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|------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Known Data Limitations | <p>FIUs set up to act regionally may not be captured by a single Operating Unit or could be counted by multiple operating units. This is an existing indicator.</p> <p>The Congressionally mandated International Narcotics Control and Strategy Report only asks whether a country has a FIU on a Yes or No basis, though there is however more subjective analysis and more objective standards in the Report</p> |
| Baseline Timeframe     | <p>Baseline data already exists.</p> <p>The money laundering section of the INCSR has been produced since 1987.</p>                                                                                                                                                                                                                                                                                                 |
| Disaggregate(s)        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                 |

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| Indicator                              | <b>1.5.1-2 The number of people in a host country who received USG-funded anti-money laundering or financial crime prevention training</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Definition                             | <p>This indicator tracks the number of people in a host country that received USG-funded training during the life of a project on anti-money laundering or financial crimes prevention.</p> <p>Trainees include government employees, especially members of the law enforcement community, bank officials, members of the legal and accounting professions, academics and others.</p> <p>A <u>training</u> is an organized activity that is designed and implemented to build capacity and has specific learning objectives - expected knowledge, skills and/or competencies to be gained by participants. Trainings of any length with this purpose should be counted.</p> <p><u>Building capacity</u> means that recipients of training gain increased knowledge, skills, and/or competencies.</p> <p>If a training is conducted over more than one session, only individuals who complete the full series should be counted.</p> |
| Linkage to Long-Term Outcome or Impact | Counting the number of trainees provides an overall sense of scope and proxies the interest of the host government in upgrading the skills of their country in funded anti-money laundering or financial crime prevention training. Training host country personnel on money laundering and financial crime issues should result in a country making quantifiable progress against the 40+9 recommendations to be removed from the list of “high-risk and non-cooperative” jurisdictions.                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress. State/INL will use information to prepare the Congressionally mandated International Narcotics Control and Strategy Report (INCSR).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Data Source and Reporting Frequency    | <p>Data Sources: U.S. embassy records and reports.<br/>USG agencies providing assistance and their implementing partners.</p> <p>Frequency of Data Acquisition: Annually</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Known Data Limitations                 | Not all USG agencies or implementing partners provide reports to the U.S. Embassy                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Baseline Timeframe                     | Baseline data already exists or is calculable.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Disaggregate(s)                        | Sex                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

## **1.5.2 – Intellectual Property Theft and Cyber Security**

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| Indicator                              | <b>1.5.2-2 Listing or non-listing of country on “Priority Watchlist” or the “Watchlist” on the U.S. Trade Representative’s Special 301 Report</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Definition                             | <p>Each year the Office of the U.S. Trade Representative (USTR) must identify countries which do not provide "adequate and effective" protection of intellectual property rights or "fair and equitable market access to United States person that rely upon intellectual property rights." Under the Special 301 provisions, amended into Section 301 of the Trade Act of 1974 by the Omnibus Trade and Competitiveness Act of 1988, the USTR must also undertake annual surveys of foreign countries' intellectual property laws and policies.[1] The Special 301 Reports name countries identified by the USTR as "priority foreign countries" under Section 301 and countries that have been included on the "Priority Watchlist" and "Watchlist."</p> <p>"Priority Watchlist countries" are judged by the USTR as having "serious intellectual property rights deficiencies" that require increased USTR attention. "Watch List" countries have been identified by the USTR as having "serious intellectual property rights deficiencies" but are not yet placed on the "Priority Watchlist." The USTR can move countries from one list to the other, or remove them from the lists, throughout the year.</p> |
| Linkage to Long-Term Outcome or Impact | Improved government response to protecting intellectual property rights. Removal from the Special 301 report signifies that the host country provides effective and adequate protections for international property rights.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Unit of Measure                        | <p>1 = Yes it was listed</p> <p>2 = No it was not listed</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Data Source and Reporting Frequency    | <p>Data Sources: USTR. Under the Special 301 provisions, amended into Section 301 of the Trade Act of 1974 by the <u>Omnibus Trade and Competitiveness Act of 1988</u>, the USTR undertakes annual surveys of foreign countries' intellectual property laws and policies. The Special 301 Reports name countries identified by the USTR as "priority foreign countries" under Section 301 and countries that have been included on the "Priority Watchlist" and "Watchlist"</p> <p>Frequency of Data Acquisition: Annually (April 30)</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Known Data Limitations                 | There are many factors used to determine the listing and category of a country in the Special 301 Report on intellectual property.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Baseline Timeframe                     | Baseline data already exists. What year?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

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| Indicator                              | <b>1.5.2-1 Person hours of training completed and supported by the USG in a host country on intellectual property theft and/or cyber security</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Definition                             | <p>This indicator tracks the number of people in a host country that received USG-funded training on intellectual property theft and/or cyber security.</p> <p>Trainees include government employees, especially members of the law enforcement community, bank officials, members of the legal and accounting professions, academics and others.</p> <p>Support from the USG: This indicator counts training hours that were delivered in full or in part as a result of USG assistance. This could include provision of funds to pay teachers, providing hosting facilities, or other key contributions necessary to ensure training was delivered. This indicator does not automatically count any course for which the USG helped develop the curriculum, but rather focuses on delivery of courses that was made possible through full or partial funding from the USG.</p> <p>People: Only people who complete the entire training course are counted for this indicator.</p> <p>Training: Training is defined as sessions in which participants are educated according to a defined curriculum and set learning objectives. Sessions that could be informative or educational, such as meetings, but do not have a defined curriculum or learning objectives are not counted as training.</p> <p><u>Building capacity</u> means that recipients of training gain increased knowledge, skills, and/or competencies.</p> |
| Linkage to Long-Term Outcome or Impact | Counting the number of trainees provides an overall sense of scope and proxies the interest of the host government in upgrading the skills of their country on intellectual property theft and/or cyber security. Training members on IPR should result in increased actions to address IPR issues and should result in eventual removal from the Special 301 Report.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress. State/INL will use information to prepare the Congressionally mandated International Narcotics Control and Strategy Report (INCSR).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Data Source and Reporting Frequency    | <p>Data Sources: U.S. embassy records and reports..</p> <p>USG agencies providing assistance and their implementing partners.</p> <p>Frequency of Data Acquisition: Annually</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Known Data Limitations                 | Not all agencies and implementing partners provide reports to the U.S. embassy.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Baseline Timeframe                     | Statistics to form baseline data largely exists as NAS's can track this, but generally do not report in the aggregate.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Disaggregate(s)                        | Sex                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

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| Indicator                              | <b>1.5.2-3 The number of Intellectual Property Offices (Copyright, Patent, Trademark) in a host country that are recognized by the World Customs Organization</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Definition                             | This indicator tracks the number of Intellectual Property Offices (Copyright, Patent, and Trademark) in a host country that are recognized by the World Customs Organization.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Linkage to Long-Term Outcome or Impact | Establishing Intellectual Property (IP) Offices should result in increased actions to protect Intellectual Property Rights (IPR) and should result in eventual removal from the USTR's annual Special 301 Report.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Data Source and Reporting Frequency    | <p>Data Sources: U.S. embassy, host government, USTR, the World Intellectual Property Organization (WIPO), the World Customs Organization</p> <p>The World Intellectual Property Organization (WIPO) (<a href="http://www.wipo.int/portal/index.html.en">http://www.wipo.int/portal/index.html.en</a>) is a specialized agency of the United Nations. With a mandate to promote the protection of IP throughout the world through cooperation among states and in collaboration with other international organizations. WIPO Directory of IP offices can be found at <a href="http://www.wipo.int/directory/en/urls.jsp">http://www.wipo.int/directory/en/urls.jsp</a>. See also <a href="http://www.wipo.int/ipstats/en/">http://www.wipo.int/ipstats/en/</a>.</p> <p>The World Customs Organization (WCO) has a responsibility to assess compliance with TRIPS Agreement and conduct assessments. See <a href="http://www.wcoomd.org/home_cboverviewboxes_valelearningoncustomsvaluation_epipr.htm">http://www.wcoomd.org/home_cboverviewboxes_valelearningoncustomsvaluation_epipr.htm</a></p> <p>Each year the World Customs Organization publishes a report on World Intellectual Property Indicators.</p> <p>Frequency of Data Acquisition: Annually</p> |
| Known Data Limitations                 | Countries organize their intellectual property offices differently.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Baseline Timeframe                     | Baseline data already exists. The World Customs Organization has been publishing an annual IPR Report since 2004 and IPR indicators since 2007.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

### **1.5.3 – Trafficking in Persons**

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| Indicator                              | <b>1.5.3-13 Percent of target population that shows an awareness of trafficking in persons (TIP)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Definition                             | <p>This indicator captures the level of awareness of TIP among the target population identified following the implementation of a USG-funded mass media campaign that provides information about TIP. This indicator will be measured at the population-level, rather than the individual-level.</p> <p>Calculation:<br/> <u>Numerator</u> = total number of people surveyed within the target population that demonstrate an increase in awareness of TIP from baseline to endline<br/> <u>Denominator</u> = total number of people surveyed within the target population</p> <p><u>Awareness</u> means that a person exposed to the mass media campaign has knowledge that TIP exists and/or understands that trafficking is a problem impacting women, men, and children in the community or country in which they live.</p> <p><u>Target population</u> includes those who are the intended recipients of the awareness raising messages, whether that be the overall population in a community or country, or populations that are particularly vulnerable to TIP, which vary by country; and may include persons likely to encounter TIP victims, such as health professionals, teachers, law enforcement, immigration and border enforcement, embassies and consulates, and the general public.</p> <p><u>Mass media campaigns</u> to raise awareness about TIP are targeted messages designed to reach a large number of people through the media of radio, television and print media.</p> <p>Data from this indicator will be used to calculate the percent change in awareness. The percent change in awareness will be calculated by comparing current year data to past years.</p> <p>The implementing partner will be required to conduct a baseline survey prior to implementation of the mass media campaign and an endline survey to measure changes in the level of awareness of TIP among the target population.</p> |
| Linkage to Long-Term Outcome or Impact | As a hidden crime that often exploits vulnerable persons' desires to make a better life for themselves or their families, raising awareness of trafficking in persons is crucial to exposing the possibility of false promises and opportunities that traffickers often use to ensnare their victims. Greater awareness leads to greater pressure on governments to respond appropriately. Additionally, government officials and service providing organizations need to be able to recognize the signs of trafficking in order to identify possible trafficking situations and to establish structures meant to prevent TIP. Within the "three Ps" framework of Prevention, Protection, and Prosecution, when the targeted population is a vulnerable population, this indicator measures prevention; when the targeted population is an entity likely to come into contact with TIP victims, this indicator measures protection.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Unit of Measure                        | Percentage                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |



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|                                     | adjustments to programs, making budget decisions, and reporting to Congress.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Data Source and Reporting Frequency | <p>Data Sources: Implementing partners' project records. Implementing partners that are engaged in awareness-raising efforts will be responsible for conducting baseline and annual surveys to measure the percent change in awareness of TIP among the target population and including this in their scopes of work. These surveys should be designed and administered by individuals with expertise in survey development and survey methodologies (implementing partners may need to include consultants for this in their program budgets). Implementers will be responsible for demonstrating that the surveys were methodologically and statistically sound and that they reached a representative sample of the target population. If existing survey tools exist that have already been shown to be valid and reliable and that would serve this purpose, implementers are encouraged to use those.</p> <p>Frequency of Data Acquisition: Annually</p> |
| Known Data Limitations              | We are making the assumption that increased awareness of this issue will result in increased pressure on governments and civil society to prevent TIP, but awareness does not necessarily lead to changes in behavior.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Baseline Timeframe                  | Baseline data needs to be established for this indicator by implementing partners prior to implementation of a mass media campaign.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Disaggregate(s)                     | Sex, minor (under 18), adult, Numerator, Denominator                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

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| Indicator                              | <b>1.5.3-14 The number of people in targeted populations, including vulnerable populations, law enforcement, health care providers, educators, and others, exposed to a USG-funded mass media campaign that provides information about TIP.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Definition                             | <p>This indicator is an estimate of the number of people among the target population who were exposed to a USG-funded mass media campaign that provides information about TIP. The number of people exposed within the target population has to be estimated by implementing partners. The manner by which implementing partners obtain estimates of the people exposed to radio/television/print media may vary and can include either survey data or data reports produced by the broadcasting or print media companies responsible for disseminating the information.</p> <p><u>Target population</u> includes those who are the intended recipients of the awareness raising messages, whether that be the overall population in a community or country, or populations that are particularly vulnerable to TIP, which vary by country; and may include persons likely to encounter TIP victims, such as health professionals, teachers, law enforcement, immigration and border enforcement, embassies and consulates, and the general public.</p> <p><u>Exposure</u> means that the individual has seen or heard at least one USG-sponsored human trafficking prevention message in the mass media. This number needs to be estimated by the media outlet.</p> <p><u>Mass media campaigns</u> that provide information about TIP are targeted messages designed to reach a large number of people through the media of radio, television and print media.</p> |
| Linkage to Long-Term Outcome or Impact | <p>As a hidden crime that often exploits vulnerable persons' specific vulnerabilities, raising awareness of trafficking in persons is crucial to exposing the possibility of false promises and opportunities that traffickers often use to ensnare their victims. Greater awareness leads to greater pressure on governments to respond appropriately. Additionally, government officials and service providing organizations need to be able to recognize the signs of trafficking in order to identify possible trafficking situations and to establish structures meant to prevent TIP. Within the "three Ps" framework of Prevention, Protection, and Prosecution, when the targeted population is a vulnerable population, this indicator measures prevention; when the targeted population is an entity likely to come into contact with TIP victims, this indicator measures protection.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Data Source and Reporting Frequency    | Data Sources: Implementing partners' project records. Implementing partners that are engaged in awareness-raising efforts will be responsible for conducting baseline and annual surveys to measure the percent change in awareness of TIP among the target population and including this in their scopes of work. These surveys should be designed and administered by individuals with expertise in survey development and survey methodologies (implementing partners may need to include consultants for this in their program budgets). Implementers will be responsible for                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

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|                        | <p>demonstrating that the surveys were methodologically and statistically sound and that they reached a representative sample of the target population. If existing survey tools exist that have already been shown to be valid and reliable and that would serve this purpose, implementers are encouraged to use those.</p> <p>Frequency of Data Acquisition: Annually</p> |
| Known Data Limitations | The numbers of persons reached are estimates only. The disaggregated data (e.g. sex and age) may be estimates as well.                                                                                                                                                                                                                                                       |
| Baseline Timeframe     | Baseline not needed.                                                                                                                                                                                                                                                                                                                                                         |
| Disaggregate(s)        | Sex, minor (under 18), adult                                                                                                                                                                                                                                                                                                                                                 |

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| Indicator                              | <b>1.5.3-15 Country rating on capacity of the host government to provide protection to TIP victims</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Definition                             | <p>This indicator measures the strengthened capacity of the host government to identify and provide protection to TIP victims according to the reference scale provided below. Examples of evidence of increased capacity may include an increase in the number of TIP victims identified, increased government funding for victim services, new or amended laws that increase victim protection, and increased number of convictions of traffickers.</p> <p><u>Victim protection</u> refers to services that address victims' needs for legal, medical, psychosocial, educational and economic assistance to enable them to leave trafficking situations and rebuild their lives.</p> <p>A <u>Reference Scale</u> will be used to attribute change in government capacity to provide victim protection:</p> <ul style="list-style-type: none"> <li>• 3 = Increase in a government's capacity to provide victim protection</li> <li>• 2 = Decrease in a government's capacity to provide victim protection</li> <li>• 1 = No change in a government's capacity to provide victim protection</li> </ul> <p>The change or lack of change in government capacity should be assessed by the Reports and Political Affairs (RPA) Officer of the Office to Monitor and Combat Trafficking in Persons (G/TIP) in conjunction with the country assessment for the annual Trafficking in Persons Report. This is a qualitative assessment based on an established framework that includes minimum standards that must be reported annually. In conducting the assessment, the RPA Officer makes a determination based on the preponderance of evidence and should be the overall net result that recognizes that a country may have increased capacity to provide victim protection in some areas and decreased capacity in others. Examples may include the number of TIP investigation, prosecutions and convictions; the number of TIP shelters receiving host government support; and the amount of host government funding allocated for victim services.</p> |
| Linkage to Long-Term Outcome or Impact | It is USG policy that victim protection must be a critical component of any government's anti-trafficking efforts. In addition to meeting victims' immediate needs, victim protection also strengthens the ability of justice systems to identify and prosecute traffickers.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Unit of Measure                        | Reference Scale                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Data Source and Reporting Frequency    | <p>Data Source: State personnel should use the country cables submitted to the DOS/Office to Monitor and Combat Trafficking in Persons for use in the annual TIP Report in order to determine place on the scale. USAID personnel should contact the DOS/Office to Monitor and Combat Trafficking in Persons to receive this information.</p> <p>Frequency of Data Acquisition: Annually</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Known Data Limitations                 | The information provided by host governments is not independently verified; a handful of countries do not provide this information.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

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| Baseline Timeframe | Baseline data for this indicator is the data from the previous year as reported in the annual DOS/G/TIP TIP Report. |
| Disaggregate(s)    | Sex, minor (under 18), adult, victimization labor, victimization sex trafficking                                    |

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| Indicator                              | <b>1.5.3-16 The number of anti-TIP policies, laws or international agreements strengthened with USG assistance.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Definition                             | <p>Indicator Definition: This indicator captures the number of anti-TIP policies, laws, or international agreements with countries that are strengthened where the USG has a program supporting the agreement and/or program. Examples could include improvements in anti-TIP laws, national referral mechanisms, TIP strategies, TIP Action Plans, amendments to social service laws that allow for the provision of government social services to TIP victims, bilateral and regional victim assistance agreements, etc. Laws may be strengthened in various ways, including by expanding coverage to previously neglected categories of victims (e.g, men, children) or types of trafficking (e.g., for labor).</p> <p><u>Strengthened</u> means that the policy, law or international agreement expands coverage to previously neglected categories of victims or types of trafficking, or addresses loopholes or other deficiencies that render it less effective than it could be.</p> |
| Linkage to Long-Term Outcome or Impact | Improvements in laws, regulations, and international agreements provide a significant indicator of demonstrated commitment on the part of a government to combat TIP.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Data Source and Reporting Frequency    | <p>Data Source: Implementing partner's project records. Implementing partners that provide this type of assistance should provide a list of all anti-TIP policies, laws, or international agreements strengthened or created with USG assistance in their program reports.</p> <p>Frequency of Data Acquisition: Annually</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Known Data Limitations                 | A handful of countries do not provide this information.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Baseline Timeframe                     | Baseline not needed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

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| Indicator                              | <b>1.5.3-17 The number of host nation criminal justice personnel who received USG-funded anti-TIP training during the life of a project</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Definition                             | <p><b>Indicator Definition:</b> This indicator tracks the number of criminal justice personnel in a host country that received USG-funded anti-TIP training.</p> <p><u>Criminal justice personnel</u> include judges, magistrates, prosecutors, and law enforcement officials.</p> <p>A <u>training</u> is an organized activity that is designed and implemented to build capacity and has specific learning objectives - expected knowledge, skills and/or competencies to be gained by participants. Trainings of any length with this purpose should be counted.</p> <p><u>Building capacity</u> means that recipients of training gain increased knowledge, skills, and/or competencies.</p> <p>If a training is conducted over more than one session, only individuals who complete the full series should be counted.</p> |
| Linkage to Long-Term Outcome or Impact | USG training supports capacity building for host country criminal justice sectors – and their institutions. Counting the number of trainees provides an overall sense of scope and proxies the criminal justice sector’s interest in upgrading their skills to combat TIP. As per the definition, training is designed to build capacity to respond to this issue.                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Data Source and Reporting Frequency    | <p>Data Sources: Implementing partners’ project records, specifically training attendance sheets. Implementing partners will be responsible for collecting information on the number of criminal justice personnel trained through attendance sheets and related records.</p> <p>Frequency Data Acquisition: Annually</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Known Data Limitations                 | We are making the assumption that increased training will result in application of the skills attained, but this is not necessarily the case. The data does not measure the impact of the training. There may also be institutional barriers to application of the skills (such as persons being transferred to new positions, lack of equipment, etc.). There is also a risk of double counting if training participants receive training from different USG-funded projects.                                                                                                                                                                                                                                                                                                                                                   |
| Baseline Timeframe                     | Baseline not needed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Disaggregate(s)                        | Sex, judges, magistrates, prosecutors, law enforcement officials                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

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| Indicator                              | <b>1.5.3-18 The number of victims of TIP receiving services provided with USG assistance</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Definition                             | <p>This indicator captures the number of victims of TIP assisted through a USG funded anti-TIP program. This indicator is intended to cover services for victims of all forms of trafficking and for victims of all ages.</p> <p><u>Services</u> refer to any intervention designed to specifically benefit an individual victim of trafficking. These can include medical services; legal services; psychological and psychosocial care; shelter and rehabilitation; food and clothing; formal and informal education; vocational training; life skills training; return and reintegration assistance; and other rehabilitation and recovery services.</p> <p>A person is considered a <u>victim of TIP</u> if they are identified as such by a government agency, non-governmental organization, or law enforcement personnel.</p> |
| Linkage to Long-Term Outcome or Impact | An increase in this indicator is a proxy for an increase in the capacity of the government and civil society to respond to human trafficking and provide victims with the appropriate services. It is a reflection of both the government's and civil society's understanding of the scope of the problem and their ability to identify TIP crimes and assist victims.                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Data Source and Reporting Frequency    | <p>Data Sources: Implementing partners' project records related to the number of victims of TIP to whom they provide services.</p> <p>Frequency of Data Acquisition: Annually</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Known Data Limitations                 | There is the overall assumption that victims are being properly identified and referred for assistance and that victims desire the offered assistance. Victims are difficult to identify, and many countries do not have a standardized reporting system for human trafficking cases. Thus, the indicator does not reflect the proper identification and targeting of victims of TIP. It also does not measure access to services or quality of services provided. Finally, an increase in the number of victims receiving services could mean that the number of victims has increased in a country, though this is usually the result of improved identification procedures rather than due to an actual increase in victims.                                                                                                      |
| Baseline Timeframe                     | No baseline needed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Disaggregate(s)                        | Sex, minor (under 18), adult, victimization labor, victimization sex trafficking                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |



#### **1.5.4 – Organized and Gang-Related Crime**

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| Indicator                              | 1.5.4-8 The number of members of criminal organizations/gangs successfully extradited and prosecuted in the US as a result of USG cooperation and assistance                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Definition                             | <p>Gang and organized crime membership is attributed by self-admission, and/or credible intelligence and criminal history documented in official reporting by foreign and domestic justice sector agencies.</p> <p><u>Successful extradition</u> is the rendering of a host-nation citizen to the jurisdiction of the US as a result of a formal request from the US based on existing formal extradition treaties/agreements between the US and the host nation.</p> <p><u>Successful prosecutions</u> are those that involve formal criminal charges resulting in the conviction and incarceration of a member of criminal organizations/gangs.</p> <p><u>USG cooperation</u> is defined as that law enforcement collaboration that the USG undertakes with the host nation.</p> |
| Linkage to Long-Term Outcome or Impact | The primary goal of the organized crime and transnational gang task forces is to utilize enhanced investigative capabilities to facilitate in-country prosecutions or extraditions and prosecutions in the U.S. to disband targeted criminal organizations.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress. State/INL will use information to prepare the Congressionally mandated International Narcotics Control and Strategy Report (INCSR).                                                                                                                                                                                                                                                                                                                                                                                                          |
| Data Source and Reporting Frequency    | <p>Data Sources: U.S. embassy and USG records.</p> <p>Frequency of Data Acquisition: Annually</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Known Data Limitations                 | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Baseline Timeframe                     | Baseline would need to be developed by bureaus involved.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Disaggregate(s)                        | Sex, minor (under 18), adult                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

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| Indicator                              | <b>1.5.4-9 The number of law enforcement actions supported by USG assistance that result in criminal organizations or gangs being disrupted, dismantled and/ or expelled in a host country</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Definition                             | <p>This indicator captures the number of law enforcement actions, investigations or operations supported by USG assistance that result in criminal organizations or gangs being disrupted, dismantled and/or expelled from host country.</p> <p>A <u>law enforcement action</u> is defined as any justice sector activity related to enforcement of criminal statutes, including, but not limited to, surveillance, collection of evidence or intelligence, asset forfeiture, or arrest and prosecution of violators.</p> <p><u>Disruption</u> is defined as impeding the normal and effective operations of targeted organizations or gangs. Dismantlement is defined as isolating or destroying the criminal organization/gang leadership and/or financial base or revenue sources such that it is incapable of conducting its criminal operations and/or reconstituting itself.</p> <p><u>Dismantlement</u> is to isolate or destroy a criminal organization's or gang's leadership and/or financial base or revenue sources such that it is incapable of conducting its criminal operations and/or reconstituting itself.</p> <p><u>Expelled</u> is the judicial or non-judicial expulsion of non-citizens from a host-country to another sovereign jurisdiction.</p> |
| Linkage to Long-Term Outcome or Impact | Supporting host government law enforcement actions should result in corresponding increases in collaboration with USG investigations, extraditions, and prosecutions.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress. State/INL will use information to prepare the Congressionally mandated International Narcotics Control and Strategy Report (INCSR).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Data Source and Reporting Frequency    | <p>Data Sources: U.S. embassy records and reports as a principle conduit for extradition. Records and reports of U.S. law enforcement agencies at post, and host nation justice sector.</p> <p>Frequency of Data Acquisition: Annually</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Known Data Limitations                 | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Baseline Timeframe                     | Baseline would need to be developed by bureaus involved.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Disaggregate(s)                        | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

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| Indicator                              | <b>1.5.4-10 Number of successful prosecutions of members of criminal organizations/gangs based upon investigations utilizing cooperation among domestic and international partners working through USG assistance</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Definition                             | <p>This indicator captures the number of successful prosecutions of members of criminal organizations/gangs resulting from investigations utilizing cooperation among domestic and international partners supported by USG assistance.</p> <p><u>Gang and organized crime membership</u> is membership in groups with a formalized structure whose primary objective is to profit through illegal activities</p> <p><u>Successful prosecutions</u> are those that involve formal criminal charges resulting in the conviction and incarceration of a member of criminal organizations/gangs</p> <p><u>Investigations</u> are defined by the jurisdiction in which the prosecution arises.</p> <p><u>Domestic or international cooperation</u> is defined sharing of intelligence, evidence, or logistical support between two or more domestic or international law enforcement agencies.</p> <p><u>Domestic partners</u> are defined as the host nation.</p> <p><u>International partners</u> are defined as entities operating outside the jurisdiction of the domestic partners.</p> <p>1 person = 1 prosecution</p> |
| Linkage to Long-Term Outcome or Impact | Improved government response to combating organized crime and gang related crime. Supporting host government prosecutors build cases should result in corresponding increases in collaboration with USG investigations, extraditions, and prosecutions.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Use of Indicator                       | Operating unit-level planners and in-country program managers will use the data generated by this indicator for the purposes of program planning, making adjustments to programs, making budget decisions, and reporting to Congress. State/INL will use information to prepare the Congressionally mandated International Narcotics Control and Strategy Report (INCSR).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Data Source and Reporting Frequency    | Data Sources: U.S. embassy records and reports as a principle conduit for extradition. Frequency of Data Acquisition: Annually                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Known Data Limitations                 | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Baseline Timeframe                     | Baseline would need to be developed by bureaus involved.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Disaggregate(s)                        | Sex, minor (under 18), adult                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

## **1.6 – Conflict Mitigation and Reconciliation**

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| Indicator                              | <b>1.6-4 Country political stability and absence of violence point value score</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Definition                             | <i>Political stability and absence of violence</i> is a Worldwide Governance Indicator that measures the perceptions of the likelihood that the government will be destabilized or overthrown by unconstitutional or violent means, including domestic violence and terrorism. Because conflict is a complex social phenomena, this indicator should be interpreted in conjunction with other indicators and a thorough assessment of the country context.                                                                             |
| Linkage to Long-Term Outcome or Impact | The desired long-term outcome is to mitigate or alleviate the underlying sources of political and social instability. In instances where governments or regimes have not addressed social, ethnic, or economic conflicts, this indicator has been shown to rise over time.                                                                                                                                                                                                                                                             |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Unit of Measure                        | This data is collected yearly. The indicator should be collected as the percentage change from the previous year.                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Use of Indicator                       | This is the higher-level indicator, which has been selected to give the interagency a sense of how effective the host government has been in addressing the underlying conflicts and the challenges posed to its legitimacy.                                                                                                                                                                                                                                                                                                           |
| Data Source and Reporting Frequency    | This information is prepared annually by the World Bank Institute, which combines over two dozen data streams.<br>See <a href="http://info.worldbank.org/governance/wgi/pdf/pv.pdf">http://info.worldbank.org/governance/wgi/pdf/pv.pdf</a> for more information about the indicator's methodology and interpretation, and <a href="http://info.worldbank.org/governance/wgi/mc_countries.asp">http://info.worldbank.org/governance/wgi/mc_countries.asp</a> to access the latest data.                                                |
| Known Data Limitations                 | This dataset is one of the leading measures of government effectiveness in post-conflict and fragile states environments. There have been concerns about the weight given to certain data streams, but in general the data is accepted throughout the governance and conflict mitigation communities. The indicator is calculated annually, and there is a time delay of up to 18 months. See <a href="http://info.worldbank.org/governance/wgi/faq.htm#3">http://info.worldbank.org/governance/wgi/faq.htm#3</a> for additional info. |
| Baseline Timeframe                     | The baseline is the previous year's numbers, with the indicator value determined at the end of the year when the next year's values are published.                                                                                                                                                                                                                                                                                                                                                                                     |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

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| Indicator                              | <b>1.6-5 Number of battle deaths</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Definition                             | <p>This indicator measures the number of soldiers and civilians killed in combat in domestic-based armed conflicts. Because conflict is a complex social phenomena, this indicator should be interpreted in conjunction with other indicators and a thorough assessment of the country context. See the codebook for more information on the precise meaning of the various terminologies.</p> <p><a href="http://www.prio.no/sptrans/-1423485763/Codebook%20UCDP%20PRIO%20Armed%20Conflict%20Dataset%20v4%202009.pdf">http://www.prio.no/sptrans/-1423485763/Codebook UCDP PRIO%20Armed%20Conflict%20Dataset %20v4 2009.pdf</a></p> |
| Linkage to Long-Term Outcome or Impact | This indicator is one of the ultimate measures in the change of the intensity of conflict. The desired long-term outcome is to mitigate the causes of conflict, and ultimately decrease the number of battle deaths related to the conflict.                                                                                                                                                                                                                                                                                                                                                                                         |
| Indicator Type                         | Outcome. Further analysis of trends and their causes must be conducted to infer larger-scale impact.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Unit of Measure                        | Number of soldiers and civilians killed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Use of Indicator                       | This is the highest-level indicator, which has been selected to give the interagency a sense of whether the conflict is intensifying or moderating.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Data Source and Reporting Frequency    | <p>This information is collected, verified, and published yearly by the Peace Research Institute, Oslo, and available online at: <a href="http://www.prio.no/CSCW/Datasets/Armed-Conflict/">http://www.prio.no/CSCW/Datasets/Armed-Conflict/</a>. For more information on coding standards and definitions, refer to the Codebook available at <a href="http://www.prio.no/sptrans/-1423485763/Codebook%20UCDP%20PRIO%20Armed%20Conflict%20Dataset%20v4%202009.pdf">http://www.prio.no/sptrans/-1423485763/Codebook UCDP PRIO%20Armed%20Conflict%20Dataset %20v4 2009.pdf</a>.</p>                                                   |
| Known Data Limitations                 | <p>This dataset is generally well-accepted within the peace and conflict community and used by other governments and donors, including DFID. The data values are triangulated using multiple other data sources. Inevitably there are limitations when the information is suppressed or not reported, but this dataset is viewed as the most reliable and provided annually. The data is collected annually, and there is up to a year of delay in reporting.</p>                                                                                                                                                                    |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Disaggregate(s)                        | Sex.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

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| Indicator                              | <b>1.6-6 Number of local women participating in a substantive role or position in a peacebuilding process supported with USG assistance</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Definition                             | <p>For this indicator, a peacebuilding process refers to formal (diplomatic or Track 1) or informal (grassroots, civil society, Track 2) activities aimed at preventing or managing violent conflict, resolving conflict or the drivers of conflict, and to sustaining peace following an end to [large-scale] violent conflict.</p> <p>This indicator is intended to capture the participation of local women in peacebuilding processes; to be counted in this indicator, women should be from the relevant conflict country, area, or region. This indicator does not count the participation of women in U.S. or other third-party delegations to peace processes.</p> <p>To be counted in this indicator, participants should have a substantive role in the peacebuilding process or initiative, meaning a participant has realistic opportunities to share information and represent her own perspectives or those of a group she represents; to help define issues, problems, and solutions; and to influence decisions and outcomes associated with the process or initiative.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• persons serving on a local peace committee</li> <li>• persons representing a group or organization with official consultative status to a peace negotiation</li> <li>• person serving as an official delegate to a peace process</li> </ul> |
| Linkage to Long-Term Outcome or Impact | Women's participation in peacebuilding activities is posited as an important mechanism for increasing the gender-sensitivity of processes and outcomes, and for improving the overall strength and sustainability of such processes by ensuring focus on a broader set of issues relevant to preventing, managing, and resolving conflict and by bringing the skills and capacities of women to bear in these processes.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Unit of Measure/How to Measure         | The unit of measure is a count of female participants meeting the criteria described above.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Use of Indicator                       | This information will yield useful information for diplomatic and development practitioners interested in tracking women's participation in official peace processes, which historically has been very low in absolute terms and relatively lower than women's participation in grassroots or informal peacebuilding efforts. Information generated by this indicator will also be used to track progress toward goals associated with the USG women, peace, and security agenda and forthcoming National Action Plan. It will be used to report on output-level achievements linked to broader outcomes of gender equality/women's empowerment, for planning and reporting purposes by bureau-level and in-country program managers, and for reporting to external stakeholders such as Congress, NGOs, and international organizations.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |



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| Data Source and Reporting Frequency | The primary data for this indicator will be provided by implementing partners and collected through review of relevant project/program documents (e.g. quarterly and final reports, project monitoring records); however; analysis of secondary data (e.g. newspapers, records of proceedings) or direct observation of processes by post may also be useful . |
| Known Data Limitations              | This indicator does not measure the quality of women's participation or the impact their participation has on the outcomes or products associated with peacebuilding efforts.                                                                                                                                                                                  |
| Baseline Timeframe                  | Baseline timeframe needs to be established by the operating unit; a historical baseline could be established if relevant program documents or records of processes are available                                                                                                                                                                               |
| Disaggregate(s)                     | Formal (track 1), informal (track 2), 30 and under years old, 31 years and older                                                                                                                                                                                                                                                                               |

### **1.6.1 – Conflict Mitigation**

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|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.6.1-10 Country score on the Media Sustainability Index (MSI) on media plurality</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Definition                             | This indicator shows the total number of news sources within a single country that provide citizens with reliable and objective news. The MSI measures the strength and viability of any country's media sector. The MSI considers all the factors that contribute to a media system—the quality of journalism, effectiveness of management, the legal environment supporting freedom of the press, and more—to arrive at scores on a scale ranging between 0 and 4. These scores represent the strength of the media sector components and can be analyzed over time to chart progress (or regression) within a country |
| Linkage to Long-Term Outcome or Impact | A desired long-term outcome of interventions in conflict mitigation is an increase in the visibility and participation of marginalized groups. Some programs have specific media components that aim to strengthen their presence in the media landscape. For other programs this is a useful proxy indicator for a pluralistic, stable society where all groups have a voice. Only OUs with a media plurality component to their programs or activities should report on this indicator.                                                                                                                                |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Unit of Measure                        | Number of news sources. This data is collected yearly.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Use of Indicator                       | This is a higher level indicator that can help program managers and interagency planners understand the level of inclusiveness in society.                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Data Source and Reporting Frequency    | The Media Sustainability Index (MSI) is prepared annually, and analyzed by IREX in cooperation with USAID. It is a tool to assess the development of media systems over time and across countries:<br><a href="http://www.irex.org/project/media-sustainability-index-msi">http://www.irex.org/project/media-sustainability-index-msi</a>                                                                                                                                                                                                                                                                                |
| Known Data Limitations                 | This indicator, within the well-respected IREX Media Sustainability Index, does measure other features besides the level of representation among marginalized groups and different segments of society. The quantitative score is thoroughly vetted by IREX's panel of experts, and reliably presented in their annual report.                                                                                                                                                                                                                                                                                           |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |

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| Indicator                              | <b>1.6.1-11 Point value rating of conflict intensity (1-10)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Definition                             | Indicator defines how serious are ethnic, religious, and social conflicts. Indicators of conflict intensity include the following: the confrontational nature of politics; the polarization and split of society along one or several cleavages; the mobilization of large groups of the population; and the use and spread of violence. The rating range is 1-10 with 10 equating to a civil war or a widespread violent conflict based on social, ethnic or religious differences; and 1 equating to the absence of irreconcilable ethnic, religious or social cleavages. |
| Linkage to Long-Term Outcome or Impact | Conflict Mitigation and Reconciliation programs aim to address social, ethnic, and religious conflicts, as well as the underlying causes that fuel them. This indicator is used to measure the intensity of the conflict.                                                                                                                                                                                                                                                                                                                                                   |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Unit of Measure                        | This data is collected yearly and measured on a 10-point scale, ranging from (10) "There is civil war or a widespread violent conflict based on social, ethnic or religious differences." to (1) "There are no irreconcilable ethnic, religious or social cleavages"                                                                                                                                                                                                                                                                                                        |
| Use of Indicator                       | This is a higher level indicator that can help program managers and interagency planners understand the intensity of a conflict.                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Data Source and Reporting Frequency    | This indicator is prepared yearly by the Bertelsmann Foundation. It is freely available online at <a href="http://www.bertelsmann-transformation-index.de/fileadmin/pdf/Anlagen_BTI_2010/BTI_2010_Manual.pdf">http://www.bertelsmann-transformation-index.de/fileadmin/pdf/Anlagen_BTI_2010/BTI_2010_Manual.pdf</a> . See Question 13.3 on page 36.                                                                                                                                                                                                                         |
| Known Data Limitations                 | The methodology behind the preparation of this indicator involves the subjective appraisal of experts completing a lengthy questionnaire about the conflict. It is respected within the conflict management community and it is used among other donors as a planning and performance metric.                                                                                                                                                                                                                                                                               |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

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| Indicator                              | <b>1.6.1-12 Number of new groups or initiatives created through USG funding, dedicated to resolving the conflict or the drivers of the conflict</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Definition                             | This indicator registers the creation of a new group or entity, as well as the launch of a new initiative or movement by an existing entity that is dedicated to resolving conflict or the drivers of the conflict. Groups include registered non-governmental organizations, clubs, associations, networks, or similar entities. Initiatives may be campaigns, programs, projects, or similar sets of activities sustained over a period of three months or more by the same types of groups/entities. Building peace or resolving conflict must be a stated purpose of the group or initiative as expressed in a grant proposal or documentation submitted to the USG, but peace-building need not be the publicly stated purpose. Groups/entities may not include the USG, Host Governments, political parties, or security forces. To be counted in this indicator, USG funding must have been a necessary enabling factor leading to the creation of the group or initiative. |
| Linkage to Long-Term Outcome or Impact | This is an output indicator that is important to the theory of change used by many programs. With more organizations actively supporting the conflict resolution process, the change is more likely to occur.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Unit of Measure                        | Each new initiative or group counts as 1 unit for measurement.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Use of Indicator                       | This is an output level indicator that programs with funding tied to this element should collect. Like many output indicators, it does not provide a meaningful picture of what has changed as the result of the intervention, but shows the immediate accomplishments of the project. In conflict-affected and fragile states, trainings, assessments, workshops or similar activities for integrating gender analysis and gender sensitivity could be counted under this indicator. Gender sensitivity in conflict contexts is associated with greater sensitivity to conflict dynamics overall.                                                                                                                                                                                                                                                                                                                                                                                 |
| Data Source and Reporting Frequency    | This indicator would be reported on a yearly basis by the USAID program office or whatever administrative organization is responsible for aggregating information for Missions and collected by the program management staff. Primary data is generated by USG staff or implementing partners through observation and administrative records.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Known Data Limitations                 | This indicator risks confusing a new group with a new initiative and double counting, but the definition hopefully will provide clarity on this point. Also, the indicator may risk counting projects that would have started anyway had funding not existed, but that shortcoming is inevitable.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

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| Indicator                              | <b>1.6.1-13 Number of host national inhabitants reached through USG-assisted public information campaigns to support peaceful resolution of conflicts</b>                                                                                                                                                                                                                        |
| Definition                             | This indicator tallies the number of host nation inhabitants who have heard or viewed public information campaigns collected by the grantee or an outside independent monitoring unit related to resolving the conflict, which were funded by USG assistance                                                                                                                     |
| Linkage to Long-Term Outcome or Impact | Conflict Mitigation programs aim to address social, ethnic, and religious conflicts, as well as the underlying causes that fuel them. By one theory of change, as people become more informed and have a greater understanding of the peace process they are more likely to support it and there is then a greater chance of achieving peace.                                    |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                           |
| Unit of Measure                        | Each person exposed to the message counts as one unit.                                                                                                                                                                                                                                                                                                                           |
| Use of Indicator                       | This is an output level indicator that programs with funding tied to this element should collect.                                                                                                                                                                                                                                                                                |
| Data Source and Reporting Frequency    | This indicator would be reported on a yearly basis by the USAID program office or whatever administrative organization is responsible for aggregating information for Missions and collected by the program management staff. Primary data is generated by USG staff or implementing partners through observation and administrative records.                                    |
| Known Data Limitations                 | This indicator risks double counting, as the same individual may hear more than one initiative. The indicator does not measure audience receptiveness and the number is often approximated. Like many output indicators, it does not provide a meaningful picture of what has changed as the result of the intervention, but shows the immediate accomplishments of the project. |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                |
| Disaggregate(s)                        | Sex.                                                                                                                                                                                                                                                                                                                                                                             |

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|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.6.1-14 Number of media stories disseminated with USG support to facilitate the advancement of reconciliation or peace processes</b>                                                                                                                                                                                                                                                                                                                                                                    |
| Definition                             | Any story published with USG support or about a USG-funded initiative that can build support for an end to the conflict or the peace process. Media stories include magazine and newspaper articles, television programs, radio broadcasts, online content such as blogs or podcasts, or directly comparable forms of disseminating information to a broad public audience of host country inhabitants. Stories disseminated on mediums which are not accessible to host country inhabitants may not count. |
| Linkage to Long-Term Outcome or Impact | Conflict Mitigation programs aim to address social, ethnic, and religious conflicts, as well as the underlying causes that fuel them. By one theory of change, as people become more informed and have a greater understanding of the peace process they are more likely to support the peace process, thereby creating a greater chance of achieving peace.                                                                                                                                                |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Unit of Measure                        | Each published article counts as one unit                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Use of Indicator                       | This is an output level indicator that programs with funding tied to this element should collect. Like many output indicators, it does not provide a meaningful picture of what has changed as the result of the intervention, but shows the immediate accomplishments of the project.                                                                                                                                                                                                                      |
| Data Source and Reporting Frequency    | This indicator would be reported on a yearly basis by the USAID program office or whatever administrative organization is responsible for aggregating information for Missions and collected by the program management staff. Primary source data will be provided by grantees/contractors to the USG or generated internally by USG personnel.                                                                                                                                                             |
| Known Data Limitations                 | The integrity of this indicator suffers because it is often difficult to connect published media content to the USG-funded activity. Additionally, many programs may not have enough resources to support a media monitoring component.                                                                                                                                                                                                                                                                     |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

## **1.6.2 – Peace and Reconciliation Processes**



|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.6.2-12 Number of USG-funded events, trainings, or activities designed to build support for peace or reconciliation on a mass scale</b>                                                                                                                                                                                                                                                                                                                                                                   |
| Definition                             | This indicator registers the number of USG-funded activity activities – such as a trainings or events -- that aim to build popular support for peace or reconciliation among the general population. Each activity, event, or training counts as one unit. “Mass scale” will be identified by the COTR.                                                                                                                                                                                                       |
| Linkage to Long-Term Outcome or Impact | The long-term outcome desired is to build popular support for peace processes. Many theories of change posit that if there is more grassroots level support for a peace process, the potential for peace will increase. By creating activities that have these aims, projects contribute to these outcomes. Activities designed to reduce the frequency of sexual and gender-based violence or to help perpetrators and victims recover from the trauma of such violence, could fall under the definition.    |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Use of Indicator                       | This indicator would be reported on a yearly basis by the USAID program office or whatever administrative organization is responsible for aggregating information for Missions and collected by the program management staff.                                                                                                                                                                                                                                                                                 |
| Data Source and Reporting Frequency    | As programs conduct these activities, the information should be collected and reported through the USAID, or other USG, hierarchy. Primary data is generated by USG staff or implementing partners through observation and administrative records.                                                                                                                                                                                                                                                            |
| Known Data Limitations                 | This indicator risks confusing multiple parts or phases of a training or activity, but the definition hopefully will provide clarity on this point. Individual training sessions are not counted, but the overall training is. The data has a level of validity and integrity depending on the care with which the information is collected. There is a risk of over reporting, but it is impossible to create a more specific indicator that would be appropriate across the many diverse conflict contexts. |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Disaggregate(s)                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

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| Indicator                              | <b>1.6.2-13 Number of USG supported events, trainings, or activities designed to build support for peace or reconciliation among key actors to the conflict</b>                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Definition                             | This indicator registers any USG funded activity – such as a training or event -- that aims to build support for peace and reconciliation among key actors of a conflict. Key actors are identified through assessments and include those individuals who individually or through an organization have or could soon have the capacity to mobilize others for violent action, peaceful intervention, or stabilization.                                                                                                                                                           |
| Linkage to Long-Term Outcome or Impact | The desired long-term outcome is increased support for peace and reconciliation processes as an approach to resolve conflict. This is an output indicator that measures the USG contribution to activities designed to build support for the peace process among elites or individuals/groups mobilizing/leading others in the conflict. Many theories of change posit that if there is more interest in peace among key parties to the conflict then the potential for peace will increase. By creating activities that have these aims, projects contribute to these outcomes. |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Unit of Measure                        | Each activity, event, or training counts as one unit                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Use of Indicator                       | This indicator would be reported on a yearly basis by the USAID program office or whatever administrative organization is responsible for aggregating information for Missions and collected by the program management staff.                                                                                                                                                                                                                                                                                                                                                    |
| Data Source and Reporting Frequency    | As programs conduct these activities, the information should be collected and reported through the USAID or USG hierarchy. Primary source data will be provided by grantees/contractors to the USG or generated internally by USG personnel.                                                                                                                                                                                                                                                                                                                                     |
| Known Data Limitations                 | This indicator risks confusing multiple parts or phases of a training or activity, but the definition hopefully will provide clarity on this point. Individual training sessions are not counted, but the overall training is. The data has a level of validity and integrity depending on the care with which the information is collected. There is a risk of over reporting, but it is impossible to create a more specific indicator that would be appropriate across the many diverse conflict contexts. Key actors should be identified through conflict assessment.       |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

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|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.6.2-14 Number of people participating in USG-supported events, trainings, or activities designed to build mass support for peace and reconciliation</b>                                                                                                                                                                                                                                                                       |
| Definition                             | This indicator registers number of men and women identified with a party or parties to the conflict attending events or activities, both public and private, related to building support for peace and reconciliation.                                                                                                                                                                                                             |
| Linkage to Long-Term Outcome or Impact | The desired long-term outcome is increased support for peace and reconciliation processes as an approach to resolve conflict. This is an output indicator that measures the number of people involved in the peace process and reconciliation funded by USG assistance. Many theories of change posit that if more of the population is involved in the peace process there will be greater support and peace will be more likely. |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Unit of Measure                        | Each participant in an activity, event, or training counts as one unit                                                                                                                                                                                                                                                                                                                                                             |
| Use of Indicator                       | This indicator would be reported on a yearly basis by the USAID program office or whatever administrative organization is responsible for aggregating information for Missions and collected by the program management staff.                                                                                                                                                                                                      |
| Data Source and Reporting Frequency    | This information would be collected by tallying the number of individuals attending events, trainings, or activities. It could be reported on a quarterly/annual basis. Primary source data will be provided by grantees/contractors to the USG or generated internally by USG personnel.                                                                                                                                          |
| Known Data Limitations                 | This indicator risks double counting beneficiaries, especially at events that are well attended, such as rallies. In addition, there is an incentive to inflate these numbers.                                                                                                                                                                                                                                                     |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                  |
| Disaggregate(s)                        | Sex.                                                                                                                                                                                                                                                                                                                                                                                                                               |

### **1.6.3 – Preventative Diplomacy**

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| Indicator                              | <b>1.6.3-4 Country Political Instability Risk score</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Definition                             | The point score is published in the bi-annual <i>Peace and Conflict</i> report published by the Center for International Development and Conflict Management at the University of Maryland. The score is a numerical forecast of the relative risk (compared to an average member of the OECD) of a country experiencing instability. The score is based on a statistical model using global data from 1950-2003. This model finds that regime characteristics are the most important variable for predicting onset of instability. Anocracies or partial democracies with factionalism are the most at-risk. The model projects 3-years forward from when it is calculated, so 18-24 months from publication date of Alert Lists report. Data from 2008 were used to obtain the three-year forecast for the period 2009-2011. Because conflict is a complex social phenomena, this indicator should be interpreted in conjunction with other indicators and a thorough assessment of the country context. |
| Linkage to Long-Term Outcome or Impact | This is an outcome indicator that measures the likelihood of instability. Effective preventative programming might use this indicator as a higher-level measure of progress in averting potential future conflicts.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Indicator Type                         | Outcome                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Unit of Measure                        | Collected from the Peace and Conflict Instability Ledger as the most recent point estimate of the risk score.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Use of Indicator                       | The long-term desired outcome is to increase preparedness to conflict. This is an important indicator for the interagency about whether the country may fall into conflict or if it is likely to remain stable.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Data Source and Reporting Frequency    | This indicator is available from the Peace the University of Maryland's Center for International Development and Conflict management (CIDCM) in the bi-annual Peace and Conflict Ledger Report:<br><a href="http://www.cidcm.umd.edu/pc/executive_summary/exec_sum_2010.pdf">http://www.cidcm.umd.edu/pc/executive_summary/exec_sum_2010.pdf</a>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Known Data Limitations                 | As a higher level outcome and indicator of preventative diplomacy, this measure is not immediately attributable to USG-funded programming. The data streams used as the basis for the number are generally well accepted among practitioners. Because conflict is a complex social phenomena, this indicator should be interpreted in conjunction with other indicators and a thorough assessment of the country context.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Baseline Timeframe                     | Baseline to be established by the Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Disaggregate(s)                        | None.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

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| Indicator                              | <b>1.6.3-5 Number of activities undertaken by USG operating units to integrate sensitivity to conflict dynamics into diplomatic, development, or defense activities</b>                                                                                                                                                         |
| Definition                             | This indicator registers all mechanisms and activities related to integrating sensitivity to conflict dynamics which are used by the USG to increase preparedness for the conflict. Activities may include assessments, workshops, roundtables or comparable undertakings.                                                      |
| Linkage to Long-Term Outcome or Impact | The long-term desired outcome is to increase preparedness to conflict. This is an output indicator used to measure the many USG efforts to prepare itself for potential country instability through trainings and other mechanisms.                                                                                             |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                          |
| Unit of Measure                        | Each mechanism counts as one unit                                                                                                                                                                                                                                                                                               |
| Use of Indicator                       | This indicator would be reported on a yearly basis by the USAID program office or whatever administrative organization is responsible for aggregating information for Missions and collected by the program management staff.                                                                                                   |
| Data Source and Reporting Frequency    | As programs conduct these activities, the information should be collected and reported through the USAID, or other USG, hierarchy. In conflict-affected and fragile states, trainings, assessments, workshops or similar activities for integrating gender analysis and gender sensitivity may be counted under this indicator. |
| Known Data Limitations                 | This is an output level indicator that programs with funding tied to this element should collect. Like many output indicators, it does not provide a meaningful picture of what has changed as the result of the intervention, but shows the immediate level of USG support.                                                    |
| Baseline Timeframe                     | Baseline to be established by each Operating Unit                                                                                                                                                                                                                                                                               |
| Disaggregate(s)                        | None.                                                                                                                                                                                                                                                                                                                           |

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|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.6.3-6 Number of peace-building organizations receiving conflict analysis or conflict early warning reports from USG-supported early warning systems</b>                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Definition                             | This indicator measures the number of peace-building organization that receives a report from an early warning system developed by USAID about a conflict. Peace-building organizations here include United Nations peace-building offices, non-USG diplomatic, security, and development offices, and non-governmental organizations or civil society organization with an explicit peace-building mission or mandate. Conflict analysis and conflict early warning does not include routine diplomatic correspondence or intelligence sharing, and it only includes unclassified material. |
| Linkage to Long-Term Outcome or Impact | The long-term desired outcome is to increase preparedness to conflict. Early warning systems can trigger action by the international community to stave off crisis, when warnings are received by the necessary actors.                                                                                                                                                                                                                                                                                                                                                                      |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Unit of Measure                        | Each organization represents one unit                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Use of Indicator                       | This is an important indicator for those developing early warning systems to understand whether the systems are valuable and used.                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Data Source and Reporting Frequency    | This information will be collected by those managing and developing early warning systems and/or conflict assessment processes by tallying names on report distribution lists.                                                                                                                                                                                                                                                                                                                                                                                                               |
| Known Data Limitations                 | It may be difficult to know exactly who receives the reports, and whether multiple individuals in a single organization receive the same information.                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Baseline Timeframe                     | Baseline to be established by each Operating Unit                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

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|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator                              | <b>1.6.3-7 Number of conflict/fragility early warning systems or conflict assessments supported by USG assistance</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Definition                             | This indicator measures the number of USG-funded conflict/fragility early warning systems or conflict assessments. Conflict/fragility early warning systems include databases for collecting and analyzing events-based or structural early warning signals. Examples include ECOWARN (ECOWAS) or the African Union Continental Early Warning System. Conflict assessments are formal undertakings by government and non-governmental actors to analyze the drivers of peace and conflict in a particular country or region, such as a USG Interagency Conflict Assessment or a USAID Conflict Assessment. Targeted support for analysis by third parties, such as country reports by the International Crisis Group, may also be counted. Routine diplomatic reporting/monitoring and intelligence activities may not be counted.                      |
| Linkage to Long-Term Outcome or Impact | The USG supports a range of responses to ensure crises preparedness, which are tracked by this outcome indicator                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Indicator Type                         | Output                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Unit of Measure                        | Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Use of Indicator                       | This is a useful indicator to measure the level of effort to prepare for potential conflict/instability.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Data Source and Reporting Frequency    | This information will be collected by those managing and developing early warning system and conflict assessments.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Known Data Limitations                 | This indicator provides information on the level of activities to monitor and understand the drivers of instability and conflict in country, a first step to conflict mitigation and reconciliation. It does not capture the quality of that early warning or assessment information. It does not indicate whether information was acted upon. In some cases, for example where an early warning system is comprised of several supporting early warning systems, there may be ambiguity in counting systems. There may be ambiguity as well as to whether routine analysis, such as assessments carried out with the District Stability Framework, should be tallied. Generally, an assessment explicitly examines drivers of peace and conflict and results in a formal report to a government or non-government body to be considered an assessment. |
| Baseline Timeframe                     | Baseline to be established by each Operating Unit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Disaggregate(s)                        | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |